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Schubert's Mature Operas:

An Analytical Study

Richard Douglas Bruce

Submitted for the Degree of PhD October 2003

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23 JUN 2004

Richard Bruce - Schubert's Mature Operas: An Analytical Study

Submitted for the degree of Ph.D (2003)

(Abstract)

This thesis examines four of Franz Schubert's complete operas: *Die Zwillingsbrüder* D.647, *Alfonso und Estrella* D.732, *Die Verschworenen* D.787, and *Fierrabras* D.796. These works date from the period of 1818-1823, sometimes referred to as Schubert's 'years of crisis'. While this period saw many changes in the composer's personal situation, it is commonly thought that he underwent a process of creative re-evaluation during these years. This was also the period of Schubert's life during which he was most seriously engaged in writing music for the stage. Thus, I argue in this thesis that it is possible to understand these operas as key works within Schubert's stylistic development.

Chapter 2 of this thesis studies Adorno's 1928 critique of Schubert and draws out common themes in critical writings about the composer to do with coherence, temporality and tone. These themes are then grounded in various different types of analytical observations about Schubert's emergent style.

Chapter 3 examines selected numbers from the four mature operas. Through analysing these works, we find that Schubert's developing approach to form, rhythm, musical 'signs' and other structural devices is evident. Innovations in each of these fields are understood as responses to the various dramatic challenges offered by each of the libretti.

Chapter 4 summarises the conclusions of our study of the operas and suggests some possibilities for interpretation of other works which are raised by these analyses.

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1. Introduction

It is now fairly widely known that throughout his life Franz Schubert devoted much of his time to composing music for the theatre. The past forty years have seen performances and recordings of all the complete works and several of these have already been published as part of the *Neue Schubert Ausgabe*. Writing as recently as 1959, Maurice Brown lamented the inaccessibility of the music:

In spite of their being printed, in full score, in the Schubert *Gesamtausgabe* of Breitkopf & Härtel, they might as well have remained in manuscript on the shelves of some latter-day heir of Schubert's brother Ferdinand.¹

Not only were these works hard to come by, but the faithfulness of this early edition to the clef-conventions of the early nineteenth century also made them fairly taxing for the would-be producer to read. In this respect at least, the situation today certainly looks far more promising.

It now seems incredible that such a large portion of Schubert's oeuvre could have remained relatively unknown for so long. A cursory examination of his output for the stage (see Table 1) shows us the extent of this activity. Even aged 14 he was engaged in composing a magical play of Kotzebue (*Der Spiegelritter*) and although he failed to complete this work, he went on to compose a three act opera by the same librettist (*Des Teufels Lustschloss*). A revised version of acts I and III of this opera also exists in full score, revisions having been suggested by Salieri from whom Schubert was receiving lessons. Over the course of 1815, he produced four complete Singspiels in addition to two symphonies and around 150 songs. Of these, *Fernando*, the libretto for which was written by his school friend Albert Stadler, is perhaps the most forgettable. The music to Goethe's three-act Singspiel *Claudine von Villa Bella* is perhaps the most promising, but only the first act survives, the second and third having reputedly been accidentally destroyed in a fire. All of the five works composed up to this point might best be regarded as experiments or works of apprenticeship. Indeed the latter three Singspiels of 1815 all bear the inscription 'Franz Schubert . . . Schüler des Hr. Salieri' which suggests that this is how Schubert

¹ Brown, M.J.E., 'Schubert's two Major Operas: A consideration of the possibility of actual stage production', *The Musical Review* 20 (1959), 104-18; 104.



Title + Deutsch Number	Librettist	Date	Comment
Der Spiegelritter (D.11)	Kotzebue	1811?	Fragment of first Act
(1) Des Teufels Lustschloss (D.84)	Kotzebue	1813-1814	Two versions, the second of which is missing its second Act (3 Acts)
(2) Der Vierjährige Posten (D.190)	Körner	1815	Complete Singspiel (1 Act)
(3) Fernando (D.220)	Stadler	1815	Complete Singspiel (1 Act)
(4) Claudine von Villa Bella (D.239)	Goethe	1815	Completed but missing 2 nd and 3 rd Acts (3 Acts)
(5) Die Freunde von Salamanka (D.326)	Mayrhofer	1815	Complete but missing connecting dialogue (2 Acts)
Die Bürgschaft (D.435)	Unknown	1816	Fragment on a theme of Schiller's ballad of the same name.
(6) Die Zwillingbrüder (D.647)	Georg v. Hofmann	1819	Complete Singspiel. The first of Schubert's stage works to be performed. (1 Act)
Adrast (D.137)	Mayrhofer	1819?	Another attempt at opera on a classical theme, also missing connecting dialogue.
(7) Die Zauberharfe (D.644)	Georg v. Hofmann	1820	Commissioned for the Kärntnertheater, this is a melodrama with some choral numbers and, like Rosamunde, not a true opera. (3 Acts)
Sacotala (D.701)	Neumann	1820	A fragmentary opera on an oriental theme, sketches of which remain unpublished.
Sophie (D.982)		1821?	The title of this work is attributed by Elizabeth McKay to a series of 3 sketches featuring a character of this name.
Duet and Aria for Herold's <i>Das Zauberglöckchen</i> (D.723)	Treitschke	1821	Additional numbers commissioned by Mosel and Dietrichstein for a German language performance of Herold's <i>La Clochette</i> .
(8) Alfonso und Estrella (D.732)	Schober	1821-22	Composed in collaboration with Schober and submitted to several theatres for consideration. This is the only completely through-composed work. (3 Acts)
(9) Die Verschworenen (D.787)	Castelli	1823	Complete Singspiel (1 Act)
Rüdiger (D.791)	Mosel?	1823	2 numbers, unpublished.
(10) Fierrabras (D.796)	Josef Kupelwieser	1823	3 act opera with spoken dialogue. Commissioned but not performed.
(11) Rosamunde (D.797)	Chèzy	1823	The well-known incidental music to a play.
Der Graf von Gleichen (D.918)	Bauernfeld	1827-	Incomplete but recently published in facsimile edition. Schubert's final attempt to compose for the stage.

All works for the stage are listed in the above table. Those with bracketed numbers were completed.

himself viewed them. With the exception of *Des Teufels Luschloss*,² no serious attempt was made to secure a public performance of any of these works.

By 1819 the situation had changed radically. The four completed operas, together with the incidental music to *Rosamunde* and the music for the melodrama *Die Zauberharfe*, were all composed either as responses to commissions, or with a view to potential performances. Indeed in 1820 the outlook for Schubert's career as a composer of operas looked extremely hopeful: *Die Zwillingsbrüder* received six performances between June and July, and *Die Zauberharfe* received eight between August and October. Schubert's success was, however, extremely short-lived. Despite securing a further commission, none of his remaining operas were performed during his lifetime and following the two performances of *Rosamunde* in 1823, he never completed another work for the theatre. Bauernfeld attested to Schubert's intention to complete the music to his *Graf von Gleichen*,³ but this work remained incomplete at the time of his death in November of 1828. The period between 1818 and 1823 was undoubtedly the high point of Schubert's operatic career and the rejection of three complete works (*Alfonso und Estrella*, *Die Verschworenen*, and *Fierrabras*) left him understandably despondent.

Despite the wide range of critical, analytical, and biographical writings on Schubert, study of the operas *per se* has always remained quite peripheral. A number of full-length studies do exist however. The earliest theses solely on the subject of Schubert's stage works are those by Rudolphine Krott and Walter van Endert.⁴ Written at a time when critical evaluations of the operas were scarce, their primary goal was to fill the documentary vacuum surrounding these unfamiliar works, some of which had not yet even been performed. Krott studies only the complete stage works, discussing the historical background to theatre activity of the time and the circumstances of the inception of each work and enumerating the performances they had received. Studying musical numbers according to their dramatic function, Krott observes that those numbers which treat plot development exhibit more complicated formal schemes, a wider range of declamation, individuality of the melodic lines of

² In 1822 Josef Hüttenbrenner made efforts on Schubert's behalf to secure a performance of this work in Prague under the theatre manager Holbein. These came to nothing. [See esp. Deutsch O.E. *Schubert: A Documentary Biography*, trans. Blom (London, 1946), 238.]

³ Following the composer's death, Bauernfeld wrote: 'To the last he talked to me of our opera.' [Ibid. 824]

⁴ Krott, R., *Die Singspiele Schuberts* Ph.D. Diss (Wien, 1921); Endert, Walter Van., *Schubert als Bühnenkomponist*, Ph.D. Diss (Leipzig, 1925).

characters, and a richer harmonic language.⁵ Her analysis of the musical foreground is frequently insightful as are some of her other general remarks on the works. Van Endert's thesis concerns itself primarily with a discussion of the historical background and the plots of the libretti. His musical analyses discuss the functions of numbers by their designation (Lied/Romanze/Arie/Duett/Terzett etc). Although specific treatment of the music in these theses now appears hopelessly outdated, both are clear, thorough, introductions to unfamiliar works.

Perhaps the most disappointing thesis on Schubert's operas is that written by Marcia Citron.⁶ Following a brief discussion of the historical background to these works, Citron's analysis is simply a categorisation of all numbers of the seven⁷ complete works by formal scheme (open/closed, strophic, binary, ternary, etc.). The analytical conclusions drawn from this categorisation are unsurprisingly weak and her contribution adds little of worth to scholarship on the subject.

George Cunningham's *Franz Schubert als Theaterkomponist*⁸ is significant insofar as it advances a challenging thesis for Schubert scholarship to address. As well as presenting a thorough history of the works, he avoids the common tendency to lay the blame for Schubert's lack of success solely at the door of the librettists. Körner (the librettist of *Die Vierjährige Posten*) and Kotzebue (the author of *Des Teufels Lustschloss* and the incomplete *Der Spiegelritter*) were deemed at the time to be perfectly respectable librettists.⁹ Whatever the qualities of the libretti by Kupelwieser and Hoffmann (*Fierrabras* and *Die Zwillingsbrüder*), the choice of these were made for Schubert by others who evidently considered them to be stageworthy. Only Stadler's *Fernando* (a short and highly stylized libretto) and Schober's *Alfonso* appear to be truly questionable choices. The basic proposition of Cunningham's thesis is that in writing *Fierrabras* and *Alfonso*, Schubert was guided by a treatise written by Ignaz von Mosel,¹⁰ a benefactor, composer, fellow pupil of Salieri, and briefly an official at the court theatre. This treatise takes Gluckian Reform Opera as a

⁵ Krott (1921), 37.

⁶ Citron, M.J., *Schubert's Seven Complete Operas: A Musico-Dramatic Study*, PhD diss. (U of N Carolina, 1971).

⁷ *Claudine von Villa Bella* is incomplete, so too is *Die Freunde von Salamanka* by virtue of its missing dialogue; *Die Zauberharfe* and *Rosamunde* are not strictly operas or Singspiels. These works are consequently ignored in Citron's study.

⁸ Cunningham, G., *Franz Schubert als Theaterkomponist*, PhD. Diss (Freiburg, 1974).

⁹ Kotzebue, for example, was hailed in the 'Sammmler' review of *Die Zauberharfe* as an 'accomplished stage craftsman'. [cit Deutsch (1946), 146.]

¹⁰ Mosel, I., *Versuch einer Asthetik des dramatischen Tonsatzes* (Wien, 1813).

proposed model for the future of German opera. Some of the correspondences which Cunningham observes between Mosel's recommendations and *Fierrabras* and *Alfonso* do indeed ring true. The style of accompanied recitative is occasionally Gluckian and occasionally the layout of scene complexes is shown to be similar to sections of *Orfeo* and *Iphigenie auf Tauris*. Many of the correspondences, however, appear to be extremely forced. Cunningham also argues that Schubert took up Mosel's suggestion that choice of key should be guided by Schubart's infamous *Charakteristikstück der Töne*.¹¹ However, given the general prevalence of certain associations and the notable discrepancies between Schubert's choices and Schubart's recommendations (some of which will be discussed during the course of this thesis) I believe that this aspect of Cunningham's argument is also highly tenuous. Thomas Denny has completely refuted Cunningham's suggestion of Gluckian influence, pointing out that the chaotic plot lines and bourgeois sentimentality of *Alfonso* is far removed from the simple tragic action which Mosel correctly identifies in Gluck.¹² (Given that Schober's libretto was evidently the product of collaboration with the composer, it seems highly unlikely that either the composer or the librettist was aiming to produce a work of Gluck's Classical simplicity.) Having said this, Cunningham's thesis is the first to consider the issue of large-scale form in these works and in this respect it is an ambitious and challenging study.

Mary Ann Wischusen's study of Schubert's stage music is probably the least relevant to this thesis.¹³ While it purports to be a thesis on Schubert's operas, Wischusen devotes only fifty of its seven hundred pages to discussion of the actual works. She does, however, trace the vast range of stylistic influences which fed into Schubert's operatic style. These include French reminiscence motives (although these had by Schubert's time become a naturalised part of the emergent German Romantic opera), Gluckian traits (carried to Schubert through the influence of Salieri and Mosel), the tone of the Viennese Singspiel, and some debt to Mozartian opera Buffa.

As a general guide to the works, Elizabeth Norman McKay's 1991 monograph, *Franz Schubert's Music for the Theatre*, is the most complete.¹⁴ As well

¹¹ Cunningham (1974), 192.

¹² Denny, T. 'Archaic and contemporary aspects of Schubert's *Alfonso und Estrella*: Issues of Influence, Originality, and Maturation', in Parker (ed.), *Eighteenth-Century Music in Theory and Practice – Essays in Honor of Alfred Mann* (New York, 1994), 241-261; esp. 244-50

¹³ Wischusen, M.A., *The Stage Works of Franz Schubert: Background and Stylistic Influences*, PhD diss. (Univ of Rutgers, 1983).

¹⁴ Norman McKay, E., *Franz Schubert's Music for the Theatre* (Tutzing, 1991).

as discussing the stylistic heritage of Schubert's operas and their cultural and historical context (including issues of censorship and Biedermeier culture), McKay presents a full discussion of all works and fragments, complete with the history of their inception, synopses of the action, brief discussions of each number and general comments on salient musical features of each work. Indeed the only weakness of this study is its breadth. Through creating an overview of all Schubert's stage works, analyses of particular numbers are rendered extremely brief.

In addition to these studies, there are many shorter articles on the stage works, some of which are merely introductory essays in collections of essays, others of which look at aspects of particular works. Where appropriate, the findings of these studies will be addressed during the course of this thesis.

Throughout almost all the critical writings on Schubert's theatre music, one perplexing question prevails. As one critic wrote in 1924: 'It is from the first improbable that the creator of "Erlkönig", "Gretchen am Spinnrade" and "An Schwager Kronos" was without dramatic talent...'¹⁵ Why, then, is there a tendency to dismiss the stage works, and why also did they fail to win acclaim or secure performances in the first place? The poor libretti of some of these operas is certainly one important factor. Schober's libretto to *Alfonso und Estrella*, although by no means the worst example, is chaotic, confused and given to long periods of dramatic inactivity. Notable performances of this work were subject to great revisions and in one case a completely new libretto was substituted.¹⁶ Even contemporary reviews of *Rosamunde* and *Die Zauberharfe* often praise Schubert's music while berating the playwrights.¹⁷ But even if we are suspicious of the literary worth of these plays and of Hoffmann's libretto to *Die Zwillingsbrüder*, the fact remains that these were the very works which *did* receive performances.

In addition to the problems of inherently poor libretti, political and commercial reasons for Schubert's failure as a composer of operas are equally well

¹⁵ 'Es ist von vornherein unwahrscheinlich, daß der Schöpfer von "Erlkönig", "Gretchen am Spinnrad", "Schwager Kronos" ohne dramatische Begabung gewesen ist. . . ' Blessinger, K., 'Die Romantische Elemente in den Opern Franz Schuberts', in Bosse (ed.), *Almanach der deutschen Musikbucherei* (Regensburg, 1924), 170-178; 174.

¹⁶ Waidelich, T.G., *Franz Schubert's Alfonso und Estrella – Eine frühe durchkomponierte deutsche Oper – Geschichte und Analyse* (Tutzing, 1991); 35-53.

¹⁷ While Schubert's music for *Rosamunde* was evidently praised, and is indeed now the best-known theatre work (happily divorced from the play which is now lost), Chezy was reduced to apologising for the play and justifying its inadequacies with excuses about pressures of time. [Deutsch (1946), 321.] The critic of the Vienna 'Conversationsblatt' wrote of *Die Zauberharfe* '... what a pity that Schubert's wonderfully beautiful music has not found a worthier subject.' [Ibid. 148].

documented. The actual content of the libretti was limited by the restrictions of Metternich's regime of censorship. Bauernfeld's libretto for *Der Graf von Gleichen*, Schubert's last fragmentary operatic venture, was rejected on the grounds of its inflammatory content,¹⁸ while Castelli's *Die Verschworenen* was renamed *Der Häusliche Krieg* so as to play down the idea of conspiracy or revolution. While only a few minor revisions were required for Josef Kupelwieser's *Fierrabras*, the libretto was evidently written in full knowledge of what was considered unacceptable and the political climate may thus be held accountable for some of its dramatic deficiencies. On the commercial side, the delay and abandonment of performances of certain works was due to intrigues and political manoeuvrings at the court theatre. Although *Die Zwillingsbrüder* was written in January of 1819, the prevarications of the theatre administration, famously lamented by Schubert in a letter to Hüttenbrenner,¹⁹ delayed the premiere until June of 1820. A series of unfortunate circumstances – the departure of Kupelwieser from the theatre administration, the poor reception of Weber's *Euryanthe* and the growing popularity of Italian opera – were also largely responsible for the failure of *Fierrabras* to materialise on the stage. These circumstances will be discussed more fully in Chapter 3.4.

The four works studied at length in this thesis fall within a period often referred to as the 'years of crisis'. According to Walter Dürr, this dates from 1818-1823 and constitutes both a period of personal upheaval and a process of creative re-evaluation.²⁰ The personal elements of this crisis include: Schubert's departure from the family home following his return from the first visit to Zseliz in August of 1818; the final rejection of his school-teaching duties after a return to these in December of the previous year; a changing circle of friends which most notably came to encompass Michael Vogl and Franz von Schober;²¹ and, at some point towards the end of 1822, the contraction of the venereal disease which led to long periods of illness, depression and hospitalisation.²² In terms of compositional crisis, this period is

¹⁸ Bauernfeld notes the prohibition of this work in a diary entry of October 1826. Since the subject of this opera was a bigamous Count, its rejection should have come as no surprise. [Ibid. 561.]

¹⁹ The letter dates from 19th May 1819. Ibid. 117.

²⁰ Dürr, W., 'Franz Schuberts Wanderjahre', in Aderhold, Dürr, Litschauer (eds.), *Franz Schubert: Jahre der Krise, 1818-1823. Arnold Feil zum 60. Geburtstag* (Kassel, 1982), 11-21.

²¹ This new set of relationships was highly unstable. The relationship with Mayrhofer was evidently stormy, Vogl and Schober did not get on, Schubert's friend Senn was arrested and expelled from Vienna in early 1820, and Schubert drifted away from old friends such as Josef von Spaun and Albert Stadler.

²² The onset of this disease dates from late 1822 and the treatments (dehydration, fasting, emetics, bleeding and ingesting Mercury) were at least as unpleasant as the disease itself. [Bevan, P.,

characterised by a notable drop in the output of both *Lieder* and large-scale instrumental works. And yet despite this, Schubert's most notable 'unfinished' works, the *Quartettsatz* and the 'Unfinished' Symphony, date from this period, as do the *Forellenquintett*, the 'Little' A major Sonata D.664, the A minor Sonata D.784, and the 'Wanderer' Fantasy D.760. Most importantly for this study, it was during this period that Schubert began to receive commissions for theatre works and, even where there was no commission as such, still composed with a view to actual public performances. The quantity of large-scale stage works dating from this period certainly explains the drop in production of compositions in other genres, but it does not fully address the term 'crisis' [*Krise*]. Dürr insists, however, that we must interpret the crisis not only in the negative senses outlined above, but also as a positive description of the composer's process of development and re-evaluation: 'We surmise that the crisis in Schubert's life is at once a break and a breakthrough. It is a break with [having to] return home It is, however, also a search for new paths. . . . Both, I believe, may be read in Schubert's works'.²³ Indeed, as Walburga Litschauer demonstrates, the word 'Krise' may well suggest a positive period of creative change.²⁴

Analytical studies of the better-known works dating from this period typically draw attention to Schubert's re-evaluation of form. David Beach, for example, addresses the idiosyncratic treatment of sonata form exhibited by the *Quartettsatz*²⁵ which not only recapitulates in the 'wrong' key but also with the wrong theme, suggesting to Beach that a deeper structural purpose is at work. The cyclical construction of the 'Wanderer Fantasy' was evidently not only revolutionary in itself, but was highly influential for the nineteenth-century solo piano repertoire. Even an apparently innocuous work like the 'Little' A major sonata also exhibits some cyclical traits.²⁶ And following this period of creative upheaval, we find many more works which revolutionise inherited forms in ways which we now understand as

'Adversity: Schubert's Illnesses and their Background', in Newbould (ed.), *Schubert Studies*, (Aldershot, 1998), 244-266; 246]

²³ 'Die Krise in Schuberts Leben, so vermuteten wir, sei Bruch und Anbruch zugleich. Sie ist Bruch mit dem Herkommen Sie ist aber eben auch ein Suchen nach neuen Wegen. . . . Beides so meine ich, läßt sich auch an Schuberts Werk ablesen.' Dürr (1982), 18.

²⁴ Litschauer, W., 'Zum Begriffswandel des Wortes Krise', in Ibid. 138-39.

²⁵ Beach, D., 'Harmony and Linear Progression in Schubert's Music', *Journal of Music Theory* 38 (1994), 1-20; esp. 13-17.

²⁶ Kinderman, W., 'Schubert's Piano Music', in Gibbs (ed.), *The Cambridge Companion to Schubert* (Cambridge, 1997), 153-173; 157

recognisably Schubertian. While studies of the operas are often preoccupied with apologising for or explaining their inadequacies, I would argue that it is possible to understand them more positively as part of this re-evaluative process. Put simply, the emergence of Schubert's operatic style is very much a part of the emergence of his mature style *per se*. Thus, in order to understand Schubert's operas, we must first identify those traits which are recognisably his own and subsequently investigate how these emerge in this body of works.

Critical writings on Schubert fall broadly into two categories which do not always mix well. On the one hand there are hermeneutic critiques of the music which express general intuitions about the ways in which we hear Schubert. On the other there are analytical studies which approach the composer's music from a variety of different angles. Studies of meaning in Schubert are characterised by a set of recurring themes. These pertain to: temporality (Schubert's music often evokes the feeling timelessness or 'over-length'); coherence (his treatment of form is often considered to be erratic, akin to wandering through space, or 'other'); the Romantic 'tone' of his music (the musical language is often deemed to be highly personal and inward looking); the contrastingly sentimental simple 'tone' (other works appear to be absurdly simple or naïve, linked to those images of bourgeois music making that are part and parcel of Schubert's reception); and, more recently, constructions of subjectivity.

Analytical writings on Schubert approach his music from a variety of different angles. Schubert's developing approach to form (and in particular sonata form) is studied both as an end in itself, and as a means by which to reassess the effectiveness of certain analytical paradigms. Recent Neo-Riemannian approaches to Schubert's form not only constitute a new approach to form in Schubert, but also seek to address some of those aspects of form which have long been deemed to be problematic. Both post-Schenkerian American studies and German-language writings on Schubert often focus on rhythmic aspects of the music which are particularly characteristic of the composer on both micro and macro levels. The presence of musical devices with conventional associations – 'topics' (references within works to styles of genres) with established meanings, musical gestures which appear to be iconic of textual features, accompaniment figurations which denote brooks, riding-horses, etc. – is also noted by most writings on Schubert. Furthermore, Schubert scholarship frequently uncovers musical devices with more obscure meanings. These may be patterns which signify

not through convention, or resemblance, but through the musical encoding of a poetic idea.

The aim of the second chapter of this thesis is to ground commonly recurring critical statements about Schubert in analytical observations based on these four approaches which I term broadly: formal, rhythmic, semiotic and hermeneutic. The opening section of this chapter focuses on T.W. Adorno's essay on Schubert, first published in 1928 in honour of the centenary of the composer's death, and reprinted, largely unaltered, in 1964. Although Adorno's essay is ostensibly a critique of Schubert, the works which he refers to date primarily from the period following the 'years of crisis'.²⁷ My critique of this essay (2.1) is intended to open up a discussion of the hermeneutic issues in Schubert scholarship in preparation for a study of the analytical approaches which unfolds throughout the following four sections (2.2 to 2.5).

Two important points implicitly emerge from Chapter 2. Firstly, by artificially separating the analytical approaches to and parameters of Schubert's music, we discover that none of these may truly be considered in isolation. Thus, large-scale form may be a product of phrase rhythm; rhythmic patterns may be evaluated semiotically through their conventional associations or through the manner in which they develop; topics and significant gestures become meaningful in both their expressive and formal contexts; and, for that matter, form itself must be deemed to be expressive. Secondly, our hermeneutic categories do not necessarily map onto single analytical parameters. For example, our sense of temporality may be a function of formal devices, manipulation of phrase rhythm, and 'play' of semiotic implications. Equally the impression of the music as wandering, which is in part to say negotiating musical space, may be expressed in terms of harmony and form, and in terms of a semiotic interpretation of musical logic. The result is that a coherent picture of Schubert's musical personality emerges.

The third chapter of this thesis focuses on Schubert's four most successful operatic works, those composed at the height of his powers and with realistic possibilities of significant public performances. Having established a framework within which to discuss aspects of Schubert's musical discourse, we may examine

²⁷ These include the F minor Fantasy D.940 (1828), the A major Rondo D.951 (1828), *The Moments Musicaux* (from 1823-28), The Impromptus D.899 and 935 (1827-28), the piano trios D.898 and D.929 (1827-28), *Winterreise* (1827), the A minor sonata D.845 (1825), the Great C major symphony D.944 (1825) the A minor Quartet D.804 (1844) and *Rosamunde* D.797 (late 1823).

how these features become meaningful in a dramatic context. In the four operas discussed – two Singspiels, *Die Zwillingsbrüder* and *Die Verschworenen*, and two grand operas, *Alfonso und Estrella* and *Fierrabras* – music plays essentially different roles. In *Die Zwillingsbrüder*, the major developments of the simple farcical plot take place in spoken dialogue. Thus, the numbers themselves are essentially a series of character pieces. In *Alfonso und Estrella*, Schubert made an ambitious attempt at writing through-composed Romantic opera. Here, music must not only reflect character but must also structure the action of the libretto, convey aspects of narrative mode, and underscore significant themes. Castelli's libretto to *Die Verschworenen* is undoubtedly more accomplished than Hoffmann's to *Die Zwillingsbrüder*; the sung numbers are structured as a series of miniature dramatic events and, as I will show, Schubert was able to compose an appropriate response to these. In *Fierrabras*, Schubert again used spoken dialogue which allowed him to set to music only those sections of the play which lent themselves to operatic treatment. Thus Josef Kupelwieser's libretto presented the composer with yet another type of challenge.

The final section of this thesis draws together the findings of the previous chapters and also suggests some interpretative possibilities for Schubert analysis raised in the course of my study of the operas.

Because these works are relatively unfamiliar I have included a series of synopses (Appendix 1). In order to support my analyses I have also included scores and reductions of the main numbers discussed (Appendix 3). Appendix 2 examines the Romantic literary background to Schubert's allegorical tale *Mein Traum*, and discusses some possible musical consequences of this piece of writing. This fascinating document is discussed at various points during my thesis where it has a bearing on Schubert's music and opens up what Lawrence Kramer might describe as a 'hermeneutic window'²⁸ for interpretation. Where possible, examples have been embedded in the text and are identified by chapter, subchapter and number. Longer examples are found at the end of each subchapter.

²⁸ Kramer, L., *Music as Cultural Practice* (Berkeley, 1990), 6.

2. Analysing Schubert

2.1 Schubert – Beethoven – Adorno

It is one of the givens of Schubert's reception history that he is traditionally compared for better or worse to Beethoven. This tendency is evident even in contemporary criticisms of Schubert's work, certain genres lending themselves to such comparisons more readily than others.¹ It is notably continued through the writings of such nineteenth-century critics as Schumann,² Liszt³ and Hanslick⁴ and persisting up to present-day observations by performers; Alfred Brendel famously remarks that 'Beethoven composes like an architect, Schubert like a sleepwalker.'⁵

To play off these two composers against one another seems only natural for many reasons. Their geographical and chronological proximity is perhaps the most obvious and is complemented by the fact that the two composers also excelled in many of the same genres. Despite major differences in personality and social standing, both also had an indefatigable belief in their own musical genius (coupled with the social graces which come with such a conviction); biographical information is unavoidably part of a composer's reception. Both are transitional figures: while Beethoven perhaps more notably defies classification as Classic or Romantic, Schubert also creates such problems for the modern musicologist. Furthermore traces of Beethoven's influence may be found particularly in the late works, leading naturally to comparisons between the two.⁶

¹ Early reviews of the E^b piano trio, for example, were prone to draw comparisons between this work and those of Beethoven. 'In diesem Scherzo ist der geniale Verfasser, wie er liebte und lebte; in den andern drei Sätzen wollte er Beethoven's Pfad verfolgen, und es gereicht ihm zur Ehre, daß er nicht ganz auf Abwegen gerathen ist.' *Allgemeiner Musikalischer Anzeiger Wien* 6 pp.21-24, cit. Waidelich (ed.) *Franz Schubert: Dokumente 1817-1830* (Tutzing, 1993), 487.

² In connection with Beethoven, Schumann describes Schubert as 'a guileless child romping among giants' *Schumann on Music: A Selection from the Writings*, trans. Henry Pleasants (New York, 1988), 142.

³ Liszt, F., 'Schuberts "Alfons und Estrella" 1854', in Ramann (ed.), *Gesammelte Schriften* Bd. 3.1 'Dramaturgische Blätter', (Leipzig 1881), 68-78.

⁴ Conceding that Schubert out-rivalled all of his contemporaries at the art of song-writing, Beethoven included, Hanslick then remarks that such an important work as *Fidelio* appears to have completely passed him by, an accusation which I will refute later in this thesis. 'Alfonso und Estrella' von Franz Schubert: Romantische Oper in 3 Akten von Franz Schubert', in 'Opernleben der Gegenwart', in *Der "Modernen Oper"* III Theil (Berlin, 1884), 159.

⁵ Cit Pesic, P. 'Schubert's Dream', *19th-century Music* 23/2 (1999), 136-144; 136.

⁶ The finale of the B^b piano sonata (D.960) serves as a good example, its supertonic opening reminiscent of the closing movement of the Op.130 quartet of the same key. William Kinderman also observes that the influence of Beethoven's sonatas often surfaces in works in corresponding keys. 'Schubert's Piano Music', in Gibbs (ed.), *The Cambridge Companion to Schubert* (Cambridge, 1997), 153-173; 157.

The general tone of such comparisons is usually one of reproach. In critiques of Schubert's work, Beethoven's example is almost invariably used as a stick to beat him with. The major contributing factor to this tendency is the older composer's central position within the canon. Scott Burnham has examined this feature of Beethoven reception at great length.⁷ Beginning with a study of the construction of a heroic subject in his mid-period works (what Burnham calls Beethoven's hero) he examines the ways in which features of this music become ingrained in our collective understanding of musical greatness, as well as in the analytical practice of nineteenth- and twentieth-century musicologists (Beethoven Hero). Several common features of these works prevail. The truism that nineteenth-century works are constructions of subjectivity is reflected in the tendency from A. B. Marx to Schering to explain Beethoven's heroic-style works programmatically.⁸ Burnham views Reti's work as an analytical counterpart to this tradition, the continuous development of motivic material mirroring the progressive growth of a musically constructed subject. The understanding of music as process as opposed to static architecture – Koch's description of *Anlage* is taken as an instructive example of the latter – is a feature of Marx's discussion of *Satz* and *Gang* at various structural levels.⁹ For Marx, the contrast between *Hauptsatz* and *Seitensatz* arises not only due to an aesthetic requirement that the two be played off against each other, but also out of the way in which the open-ended former dialectically engenders its opposite,¹⁰ a conclusion which Adorno also draws about the relationship of theme to whole.¹¹ Wagner's observation that in Beethoven '[e]verything becomes melody, every voice in the accompaniment, every rhythm, even the pauses'¹² invokes the term *Melodie* figuratively to describe the sense of line which finds its fullest expression in the different structural levels of Schenker's analysis of the same works. Furthermore, the manner in which Beethoven subverts the conventions of classical syntax allows his music to be understood either as encoding an extra-musical narrative, or as unfolding

⁷ Burnham, S., *Beethoven Hero* (Princeton, 1995).

⁸ Even Adorno refers to his childhood understanding of the *Waldstein* Sonata, a 'heroic-style' work *par excellence*, as describing a knight embarking into the woods. *Beethoven: The Philosophy of Music*, ed. Tiedemann, trans. Jephcott, R., (Oxford, 1998), 3.

⁹ Burnham (1995) see esp 69-81.

¹⁰ *Ibid.* 77.

¹¹ 'The theme is not an end in itself, but neither is it simply incidental – that is to say, without theme there is no development. The theme is (in true dialectical fashion) *both*: it is not independent, in that it is a function of the whole, *and* it is independent – that is, memorable, vivid, and so on.' Adorno (1998), 16.

¹² *Ibid.* 31.

a metamusical/metastylistic one.¹³ Either way, Beethovenian music is imbued with an overwhelming sense of content.

Beethoven's sense of forward motion towards emphatic closure, the intensity with which the material appears to be self-generating, the understanding of this development as mediated subjectivity and the feeling of the music as line with an overriding sense of unity and purpose, are some of the central characteristics of his reception; these will be seen to colour the reception of the younger composer. Burnham also refers to a sense of morality associated with Beethoven's music. The nature of this morality is two-fold. In the first place, Beethoven's music is construed as inherently moral, encoding the humanistic values of *Goethezeit* in a classical syntax which James Webster argues bears 'deep ethical concerns'¹⁴ and bringing to it a fuller affirmation. In the second place, there is a moral imperative which requires of its listener that he investigate the nature of the music's coherence.¹⁵ By making these values paradigmatic for music, Beethoven reception turns him into a demigod; to worship him is to affirm these values by means of the analytical paradigms which have themselves encoded them.¹⁶

This valorisation of Beethoven has repercussions for analysis of composers who are perceived to be 'other', but also creates problems for Beethoven analysis itself. To make Beethoven paradigmatic leads to an inevitable hermeneutic circularity in which analysis and work exist in a hermetically sealed symbiosis. It also results in anomalies being potentially assimilated in linear analyses which seek only to validate coherence in these works rather than to revel in or even acknowledge disjunction. Lawrence Kramer has argued that the misfit between post-structuralist criticism, which thrives on disjunction, and linear analysis, which seeks to iron out such moments, creates significant problems for hermeneutic interpretation of musical works, his test case being Haydn's 'Representation of Chaos'.¹⁷ More importantly for my own thesis it results in Schubert's works being judged according to analytical paradigms against which they were never supposed to be measured. Consequently

¹³ Ibid. 148.

¹⁴ cit. Burnham (1995), 151.

¹⁵ Ibid. 157.

¹⁶ Adorno too is complicit in the affirmation of 'Beethoven hero' proclaiming at one point that 'Beethoven is tonality', although he goes on to qualify Beethoven's music as the art of negation. (1998), 17.

¹⁷ Kramer, L., 'Haydn's Chaos, Schenker's Order: or Hermeneutics and Musical Analysis: Can They Mix?', *Nineteenth-Century Music* 16(1) (1992), 3-17.

Schubert's music is often judged either to be aesthetically inferior to Beethoven's or even morally suspect.

David Gramit has investigated the origins of certain truisms in Schubert reception.¹⁸ He points out that the gendered metaphors which describe Schubert as the feminine counterpart to Beethoven can be traced back to Schumann's characterisation cited above; even this is qualified by Schumann who continues: 'All of this in relationship to Beethoven! Compared with others he is man enough, the boldest and freest, indeed, of the newer musicians.'¹⁹ In reviewing the two piano trios, Schumann evokes such gendered metaphors, describing the E flat work as 'more spirited, manly, dramatic' while the B flat work is 'full of anguish, more womanly and lyric in character';²⁰ this review too restores Schubert's 'masculine side', interestingly in the work which is more commonly perceived as relating to Beethoven.²¹ Victorian reception of Schubert in England was coloured by an inherent suspicion of the lied composer; composition and performance of accompanied song did not fit with descriptions of male gender roles which Gramit cites. The moral suspicion which surrounded musical activities became partially dissipated by the comforting thought that labour with musical material constituted a masculine struggle but in the eyes of certain critics this only further served to convict Schubert on the charge of laziness, the myth being that, like Mozart, he dashed off even very large-scale works at a phenomenal speed. This myth is one that subsequent scholars have appeared only too happy to perpetuate.²² Furthermore, Lawrence Kramer has demonstrated that the association of Beethoven with large-scale coherence and Schubert with wandering lyricism has become so embedded in our understanding of the two composers that it is even latent in the basic linguistic structures with which we describe the two.²³ In this

¹⁸ Gramit, D., 'Constructing a Victorian Schubert: Music, Biography, and Cultural Values', *Nineteenth-Century Music* 17(1) (1993), 65-78.

¹⁹ Pleasants (1988), 142.

²⁰ Ibid.

²¹ Christopher Gibbs has noted certain similarities between this trio and the *Eroica*, including thematic references linking the respective *Marcia Funebre* of both works arguing that these constitute a hidden programme in honour of the composer that Schubert had by then come to revere. *The Life of Schubert* (Cambridge 2000), 157-60.

²² A. Hyatt King, for example, uncritically trots out the improbable claim that Schubert rushed off the first two acts of *Fierrabras* in the space of ten days. ['Music for the Stage', in Abraham (ed.), *Schubert: A Symposium* (London, 1946), 201.] Paper and ink studies of the manuscript for this opera have revealed this to be untrue, the manuscript dates referring to the drafting of the main voices, instrumentation and elaboration being added subsequently [Denny, T., 'Zur Chronologie im Kompositionsprozess', *Schubert durch die Brille* 9 (1992), 90-103.]

²³ Kramer dissects the following passage from Edward Cone: 'One can descry at least one source of Schubert's heavenly lengths: the expansion of the second half of the exposition. Where Beethoven

light even Brendel's throwaway polarisation of the two composers as architect and sleepwalker is loaded with the implication that Beethoven was somehow more industrious, and suggests the influence of countless similar characterisations of Schubert as lazy.

Gramit has effectively demonstrated how Victorian reception of Schubert affirms certain perceptions about Schubert's style and has also shown the role that Burnham's model of Beethoven hero plays in this historical narrative. The musical reasons for this characterisation will be discussed later. Certain biographical information is also worthy of mention. In particular, Schindler's famous anecdote about a meeting between the two composers suggests a shy, gauche Schubert unable to take criticism from the older, more experienced Beethoven.²⁴ Furthermore, questions about Schubert's sexuality have been recently raised²⁵ which have led some scholars to refute these claims and further to ask whether or not these issues have any bearing on the music;²⁶ others to separate the issues claiming that it is irrelevant whether or not he was homosexual as he still constructs sexually indeterminate subject positions as sites of sexual desire, and encodes Hellenic pederasty in certain lieder;²⁷ and still others to claim that, irrespective of the biographical background, they heard it all along.²⁸ The sense of sexual or gendered 'otherness' which Solomon appears to confirm can be seen to be latent in much nineteenth-century reception of

follows a lyrical principal theme by a concise bridge, a motivically developed second theme, and a brief retransition growing out of the cadence, Schubert dwells lovingly on each of these elements in turn, producing proportions entirely different from those of the original.' He remarks that while the first half of the sentence, that accorded to Beethoven, gives him three verbal segments corresponding to three neat sections, Schubert on the other hand gets a long - one might almost say lyrical sentence - and a kind of back-handed complement in the phrase 'dwells lovingly', implying overlength. Kramer, L., *Franz Schubert: Sexuality, Subjectivity, Song* (Cambridge, 1998).

²⁴ Reports of Schubert's acquaintance with Beethoven differ widely from that of Schindler who claims that Schubert visited him with a score and fled when criticised over a minor point, [Kreißle von Hellborn, H., *The Life of Franz Schubert*, trans Coleridge, (London, 1869), 264.] through Ferdinand who attests that the two met frequently [Deutsch, O.E., *Schubert: Memoirs By his Friends*, trans. Ley & Nowell, (London 1958), 37.], to others which deny Schindler's version of events and suggest that the two never even met.

²⁵ Maynard Solomon recently asserted that Schubert may have belonged to a homosexual subculture in Vienna and that the proclamations of love in letters between its members may have been more than purely fraternal. 'Franz Schubert and the Peacocks of Benvenuto Cellini', *Nineteenth-Century Music* 12/3 (1989), 193-206.

²⁶ Rita Steblin suggests that the 'peacocks' referred to by Bauernfeld were actually a cure for syphilis. 'The Peacock's Tale: Schubert's Sexuality Reconsidered', *Nineteenth-Century Music* 17/1 (1993), 5-33.

²⁷ Kramer (1998), see esp. chapter on Ganymed.

²⁸ McClary, S., 'Constructions of Subjectivity in Schubert's Music', in *Queering the Pitch: The New Gay and Lesbian Musicology* (New York, 1994), 205-233.

Schubert. That such judgements are intended to evoke a sense of moral bankruptcy in the music is beyond doubt.²⁹

* * *

As Scott Burnham points out, one of the many critics to invoke the opposition of Schubert and Beethoven is T.W. Adorno. By so doing he tars him with the same brush as those who, however well-intentioned, carry within their critiques the debris of Beethovenian hegemony.³⁰ While it is certainly true that Adorno does compare the two composers, I would argue that he compares the two according to different principles.

Firstly, however, I wish to examine the terms in which Adorno describes Beethoven's music. Much of his discussion of mid-period Beethoven evokes the sense of dialectical synthesis which he claims the late style brings into question. In this section I aim to show how Adorno adopts much of the language which characterises descriptions of the Romantic symbol. Rendered variously *Symbol*, *Allegorie*, *Metapher*, *Sinnbild*, theorists from Goethe and Moritz (from whom much of Goethe's own thought on the symbol derives) through the Schlegel brothers to Creutzer and Solger, develop their theories of the symbol in ways which must be briefly outlined.

The concept of 'symbol' is often defined in opposition to the counter-term of 'allegory'. Perhaps the most famous exponent of this opposition is Goethe who opposes the two terms in ways which reveal the influence of Karl Phillip Moritz. Allegory for Goethe occurs where the particular in an artwork is given as an example of the general implying direct signification. Symbol, however, is where the general is embodied in the particular. The characterisation of the symbol takes a quasi-scientific turn in the later writings of Goethe who writes that it has the quality of an *Urphänomen*, a fundamental phenomenon such as the magnet, the feeling of which is inexpressible in words.³¹ Friedrich Schlegel elaborates the opposition but not as one between symbol and allegory, rather as one between higher and lower allegory and

²⁹ Tzvetan Todorov describes similar condemnation levelled against ornate rhetoric. For Quintilian discourse is masculine 'from which it follows that ornamented discourse is the male courtesan.' Effeminacy is conveyed by adornment with the inessential. Despite the decline of rhetoric, the rise of the aesthetic and the passing of a couple of thousand years, it appears that not much has changed in the way in which the metaphor is invoked. *Theories of the Symbol*, trans. Porter, C., (Ithaca, 1982), 74.

³⁰ Burnham (1995), 155.

³¹ Starr, D., *Über den Begriff des Symbols in der Deutschen Klassik und Romantik* (Reutlingen, 1964), 40.

symbol – the two terms and others used virtually synonymously. Lower allegory is viewed as pictorial and without its own aesthetic worth; the relationship between signifier and signified is arbitrary; often it has a didactic purpose; it is rationalised, artificial and mechanical. Higher allegory, on the other hand, evokes the infinite rather than the general as with Goethe. The difference between higher allegory and higher symbol is that the former tends to describe the evocation of God, the Absolute, the unconditioned (*das Unbedingte*), whereas the latter describes the infinite in nature and life; the opposition here is one of ideal to concrete.

For Tzvetan Todorov, there are five principle constants to these theories of the symbol. He discusses these with particular reference to Friedrich Schlegel's much quoted *Athenaeum* Fragment 116.³² These principles are: the emphasis on production (the artwork as *Werden*, becoming); intransitivity (apparent reference to nothing other than itself); coherence (which is seen as having both a vertical and a horizontal dimension); syntheticism (as embodied in Schlegel's concept of *Symphilosophie*, the ideal fusion of different art forms); and expression of the inexpressible.

Adorno himself rarely uses the term *Symbol* and when he does it denotes an unartistic form of arbitrary signification, for example: 'Music becomes meaningful . . . not because its particular elements express something symbolically.'³³ The meaning he gives to allegory owes much to Walter Benjamin's use of the term. Benjamin attacks the Romantic symbol because it admits a closure which Romanticism avoids.³⁴ Consequently Benjamin's use of the term allegory evokes the fragmentary nature of all finite attempts to articulate the infinite, while the classical ideal of a match between image and idea, finite and infinite is embodied in the symbol.

While Adorno frequently describes features of late-period Beethoven as Allegorical in the sense articulated by Benjamin, Todorov's characteristics of the Romantic symbol, that which is superseded by allegory, demonstrably map onto Adorno's critique of mid-period Beethoven. The opposition of symbol and allegory as the initial attempt to articulate the infinite and the later admission of this impossibility is echoed by many of Adorno's statements on the relationship of mid- and late-period styles. Typically, Adorno writes:

³² Todorov (1982).

³³ 'Music and Language: A Fragment', in *Quasi una Fantasia*, trans. Livingstone, (London, 1992), 6.

³⁴ Starr, D., (1964), 65.

The key to the very late Beethoven probably lies in the fact that in this music the idea of totality as something already achieved had become unbearable to his critical genius. . . . In a sense, the dissociation found in the last works is a consequence of the moments of transcendence in the "classical" works of the middle period.³⁵

Just as symbolic art implies production for the Romantics, Beethoven's music too is generally in a state of perpetual becoming. For Adorno, developing variation in Beethoven is an image of social labour, endlessly bringing forth the new from its own material, giving the illusion of producing itself.³⁶ This state of becoming is reminiscent for Adorno of Hegel's statement on philosophy in the introduction to *The Phenomenology of Mind*; indeed he suggests that Hegel's words may equally well describe the processes of a Beethovenian sonata.³⁷ Adorno stresses however that this pairing of Beethoven and Hegel transcends mere analogy, rather they are the same.³⁸ Indeed for Adorno, Beethoven's music is truer than philosophy.³⁹ This echoes the truism of Romantic theory that literature and philosophy must aspire to the condition of music.⁴⁰

For Todorov, the Romantic symbol's intransitivity is its self-sufficiency and lack of direct reference to, or dependence on, the phenomenal world. This idea can be found in Moritz, although he does not discuss art as symbolic. (While Moritz does use the term *Allegorie*, he uses it to denote an art which loses its aesthetic value through requiring something beyond itself.) One critic for whom intransitivity is of great importance is Novalis, a figure who will become extremely important for this thesis. Although this is an important theme in much of Novalis' writings, it finds fullest expression in his *Monolog* where he famously exclaims 'One cannot help but be astonished at the ridiculous error of people who think they are speaking for the

³⁵ Adorno (1998), 14.

³⁶ 'The developing variation, an image of social labour, is definite negation: from what has once been posited it ceaselessly brings forth the new and enhanced by destroying it in its immediacy, its quasi-natural form.' Adorno (1998), 44.

³⁷ 'For the real subject matter is not exhausted in its *purpose* but in the working the matter out; nor is the mere *result* attained the concrete whole itself, but the result along with its Becoming.' cit. Adorno (1998), 15.

³⁸ Ibid. 11.

³⁹ Ibid. 14.

⁴⁰ See for example Dahlhaus, C., *The Idea of Absolute Music*, trans. Lustig, R., (Chicago, 1989).

sake of the things said.'⁴¹ For him, music and mathematical formulae are cited as examples of truly self-reflexive languages. It is this quality which Adorno also celebrates in music. 'Music speaks because it is pure language – it communicates, not through its expression or content, but through the gesture of speech.'⁴² Adorno's use of the term *Sprachcharakter* evokes this analogy with self-reflexive language. For Max Paddison this lies partially in the gestural aspects of music – perhaps in their previous social functionality – but also in its rationality which gives music the *appearance* of conceptual language.⁴³ Thus, while traditional theories of musical form use linguistic metaphors to describe the way in which music evokes a non-conceptual language,⁴⁴ Adorno counters that 'it is by distancing itself from language that its resemblance to language finds its fulfilment.'⁴⁵

One of the most powerful truisms of music theory from the nineteenth-century and beyond is that music evokes, or at any rate strives toward, a state of coherent organic unity. For Todorov, the coherence of the Romantic symbol consists of both a 'vertical' and a 'horizontal' dimension.⁴⁶ By this, however, he does not mean the diachronic and synchronic aspects of music as architecture and as unfolding through time. Vertical coherence for Todorov consists in art's signs becoming motivated (as opposed to the arbitrary signification of everyday language). The motivation of the poetic utterance is something currently lost to be *rediscovered*.⁴⁷ It also provides the antithesis to Adorno's dialectical take on music's *Sprachcharakter*. In particular he locates much of music's significance in 'gesture', particularly bodily gesture. As the motivated sign *par excellence*, the idea of the gesture was crucial for 18th-century philologists who sought to prove that their own language was natural and poetic. Music, however, does not consist of a series of gestures with ascribed meaning –

⁴¹ Todorov (1982), 175.

⁴² Adorno (1998), 28.

⁴³ Paddison, M., *Adorno's Aesthetics of Music* (Cambridge, 1993), 143.

⁴⁴ We might instinctively think of 18th-century traditions of music analysis which invoke 'rhetorical' metaphors. See esp Koch and Sulzer's 'rhetorical' parsing of musical form. Baker & Christensen (eds.) *Aesthetics and the art of musical composition in the German Enlightenment: Selected writings of Johann Georg Sulzer and Heinrich Christoph Koch* (Cambridge, 1995).

⁴⁵ Adorno (1992), 6.

⁴⁶ Todorov (1982), 177.

⁴⁷ As Gordon Birrel points out, this triadic rhythm of harmony, discord, harmony is one of the most familiar tenets of early romantic thought, finding expression in fragments on the history of art which promises a return to a golden age, in the literary fairy tale or *Kunstmärchen* which often evokes a transfigured homecoming within this scheme, and in writings such as Novalis's essay 'Die Christenheit oder Europa'. [Birrel, G., *The Boundless Present: Space and Time in the Literary Fairy Tales of Novalis and Tieck* (Chapel Hill, 1979), 63.]

'music creates no semiotic system'.⁴⁸ Rather it resembles society by imitating it as second nature, 'as a dynamic totality, not as a series of pictures'.⁴⁹

Todorov derives his model for horizontal coherence from Friedrich Schlegel. For Schlegel the organic is opposed to the mechanical. 'Form is mechanical when, through external force, it is imparted to any material merely as an accidental addition without reference to its quality Organical form, again, is innate; it unfolds (*bildet*) itself from within, and acquires its determination contemporaneously with the perfect development of the germ.'⁵⁰ This opposition of the mechanical and the organic is also a common thread of Romantic theory.⁵¹ Adorno evokes the organic coherence of Beethoven in strikingly similar language to that of Schlegel. The material of tonality while given and pre-existent 'appears to emerge "freely" as if from the musical meaning of the composition itself.'⁵² On a larger scale 'form follows this rule in wider and wider circles.'⁵³ Tonality in Beethoven is both material and principle, generating the impression of arising from itself rather than being imposed from above. An example of this might be the way in which the interval of a third in the *Hammerklavier* both permeates the thematic material (especially in the fugal development) and also becomes formally constitutive, articulating the major sections of the first movement (B \flat , 1st subject, G second subject, E \flat , fugue and B suspension of development).⁵⁴

Syntheticism for Todorov is the uniting of opposites (subject/object, conscious/unconscious, form/freedom). By continually describing the dialectical quality of Beethoven's music, Adorno reveals the synthetic aspect to Beethoven's work. Rose Subotnik sees the synthesis achieved in mid-period Beethoven as 'corresponding to an external reality which appeared exceptionally favourable to the possibility of dialectical synthesis.'⁵⁵ Through appearing to create form out of itself, Adorno sees mid-period Beethoven as reconciling subjective freedom and objective form in a synthesis which the composer was later to negate. Adorno also evokes the

⁴⁸ Adorno (1992), 1.

⁴⁹ Adorno (1998), 44.

⁵⁰ Cit. Todorov (1982), 179-80.

⁵¹ A characteristic use of this opposition is in Wackenroder's tale *Ein wunderbares morgenländisches Märchen von einem nacktem Heiligen*, in which the naked saint mechanically turns the wheel of time until he is freed by the strains of melody sung from the nearby river. See Birrel (1979), 136-37.

⁵² Adorno (1998), 17.

⁵³ Ibid. 17.

⁵⁴ See Rosen, C., *The Classical Style* (New York, 1971), 409ff.

⁵⁵ Subotnik, R., 'Adorno's Diagnosis of Beethoven's Late Style: Early Symptom of a Fatal Condition', *Journal of the American Musicological Society* 29/2 (1976), 248.

syntheticism of *Symphilosophie* which, for Friedrich Schlegel, is the ideal union of poetic genres to become truly poetic, critical and philosophical. However, for Adorno (as for Novalis) it is *music* which becomes philosophy, not poetry, and this is Beethoven's achievement.⁵⁶ Recall the comparison with Hegel which for Adorno transcends mere analogy.

The final aspect of the Romantic symbol for Todorov is the expression of the inexpressible. Todorov also traces this back to Moritz who writes that painting, poetry and music are a higher language because they express what lies beyond the limits of thinking.⁵⁷ However this expression is not the representation of the Absolute, but a pointing towards it. Just as, for Schopenhauer, music draws the listener away from his perpetual worldly 'willing' by embodying the will itself, for Schelling the intuiting of the Absolute is a suspension of worldly time achievable only through art.⁵⁸ Andrew Bowie asserts less mystically that the truth of art is fundamentally unsayable because to articulate its meaning is either to misinterpret the work or to render it superfluous.⁵⁹ One need not read far through Adorno's writings on Beethoven to find references to his music being a higher language of the unsayable. In a few instances, however, Adorno makes it clear that the Absolute is something which is pointed towards. 'Intentional language wants to mediate the absolute, and the absolute escapes language for the every specific intention, leaves each one behind because each is limited. Music finds the absolute immediately, but at the moment of discovery it becomes obscured, just as too powerful a light dazzles the eyes, preventing them from seeing things which are perfectly visible.'⁶⁰ Schelling applies one further turn of the screw to his conception of the Romantic symbol. Taking Greek gods as his example, Schelling raises the potential of the symbol from indirect signification to absolute identity. 'An image is symbolic whose object does not merely signify the idea but is that idea *itself*.'⁶¹ The progression is one from signification to ontology. In a similar twist, Adorno points out that in Beethoven's

⁵⁶ Adorno (1998), 29.

⁵⁷ Todorov (1982), 160.

⁵⁸ White, A., *Schelling: An Introduction to the System of Freedom* (Yale, 1983), 31.

⁵⁹ Bowie, A., *From Romanticism to Critical Theory: A Philosophy of German Literary Theory* (London and New York, 1997), 73.

⁶⁰ Adorno (1992), 4.

⁶¹ cit. Todorov (1982), 209.

music tonality is not a means but an end. Beethoven does not merely signify by means of tonality, 'Beethoven "is" tonality'.⁶²

Having established that the language with which Adorno describes mid-period Beethoven is that of the Romantic symbol, we now turn back to his critique of Schubert in order to see how he is described. Through a study of the same five categories we will see that Adorno understands Schubert's music somewhat differently from that of Beethoven. The same features, production, intransitivity, syntheticism, coherence and expression of the inexpressible appear again, perplexingly intermeshed, but qualified in significant ways. After beginning his Schubert article with a barrage of landscape-based metaphors to describe the two composers, Adorno makes a more definitive statement:

Nothing could more thoroughly misrepresent the content of his music than the attempt to understand him as a personality with a virtual centre organising the disparate strands, just because he cannot be understood as Beethoven can as emerging from the spontaneous unity of a person.⁶³

As we shall see, this is not because he considers Schubert to be disunified, rather that he conceives of his music as evoking a different type of unity.

For Adorno, the productive aspect of Schubert's music is negated in several ways. In particular all development is considered to be illusory. Either Schubert's music gives the impression of moving forward but never actually works towards a goal, or transitional passages are supplanted by Schubert's characteristic unprepared modulations. In the former case, Adorno unpacks the metaphor of Schubert's landscape character (*Landschaftscharakter*): 'The eccentric construction of this landscape, in which each point lies equally close to the middle, is revealed by the

⁶² Adorno (1998), 17.

⁶³ 'Nichts könnte gründlicher die Gehalte seiner Musik verfälschen, als der Versuch, ihn, da er sich schon einmal nicht wie Beethoven aus spontaner Einheit der Person verstehen lässt, als Persönlichkeit zu konstruieren, deren Idee, ein virtuelles Zentrum, die disparaten Züge ordnete.' Adorno, T.W. 'Schubert', in *Musikalische Schriften IV. Moments musicaux – Impromptus*, ed. Rolf Tiedemann (Frankfurt a. M., 1982), 18-33; 18.

wanderer who circles around it without moving forward. . . .'⁶⁴ Perhaps Adorno is referring to the kind of material which characterises the opening of the 'development section' of the late A major sonata D.959 which begins with the reappearance of the closing material of the second subject, itself an elaboration the cadential figure I-IV-I-VI-V⁷.⁶⁵ This section alternates aimlessly between C and B, each statement becoming successively more elaborate but not moving any closer to a goal. By so repeating the closural figure, he actually denies closure as well as arresting forward motion.⁶⁶ In comparing the Beethoven's *Archduke* trio with the A minor String Quartet of Schubert D.804, Adorno expresses this more directly:

... in Beethoven there is a dynamic, which strives towards a goal and reflects the effort to reach it. Hence, the accents point beyond themselves to the whole, whereas those in Schubert merely remain where they are.⁶⁷

The spatialization of temporal phenomena, as exemplified by Adorno's use of landscape metaphors to describe musical processes, is another Benjaminian conceit. Benjamin himself identifies it with the Baroque *Trauerspiel* but he also finds it to be a characteristic of modernity.⁶⁸ This use of landscape metaphors is also characteristic of Adorno's critique of late Beethoven, for here again he describes a spatialized concept of musical language, only one which is far more radical. Here physical space also displaces dynamic temporal space but in a different manner. If Schubert's landscape is a wide expanse to be circled around and progressively revealed, Beethoven's is instead cavernous and fissured:

He no longer draws together the landscape, now deserted and alienated, into an image. He illuminates it with the fire ignited by subjectivity as it strikes the walls of the work in breaking free, true to

⁶⁴ 'Der exzentrische Bau jener Landschaft, darin jeder Punkt dem Mittelpunkt gleich nah liegt, offenbart sich dem Wanderer, der sie durchkreist, ohne fortzuschreiten...' Ibid. 25.

⁶⁵ See Rosen, C., *Sonata Forms* (New York 1980), 360.

⁶⁶ Agawu notes a general problem of closure in Schubert's music, the endings of which are heralded early, but arrived at late. [Agawu, K., *Playing with Signs* (Princeton, 1991), 137-38.] By thus turning a closural gesture into a series of variations, Schubert creates the characteristic feeling of heavenly length.

⁶⁷ Adorno (1998), 51.

⁶⁸ Rochlitz, R., *The Disenchantment of Art* (New York, 1996), 96.

the idea of its dynamic. His late work still remains a process, but not as a development; its process is an ignition between extremes which no longer tolerate a safe mean or a spontaneous harmony.⁶⁹

The rocky landscape of late Beethoven is formed out of petrified (*versteint*) material, conventional phrases, decorative trills, cadences, archaic devices, once meaningful as part of a whole, now rendered fragmentary. These are considered petrified because they are devices which used to appear living, unfolding their future from within themselves, but which are now denied that formative power. In denying a unity between the particular musical event and an overarching whole, Adorno writes 'the late style is the self-awareness of the insignificance of the individual, existent. Herein lies the relationship of the late style to *death*.'⁷⁰ The connection of Allegorical meaning to death is also important for Benjamin who sees meaning as inherent in that which passes away.⁷¹ The landscape of late Beethoven also suggests Benjaminian allegory. Bowie formulates this as the incompatibility of convention and expression. Convention can be seen as abstract because its link to that which is designated is unmotivated. Equally, pure expression is unsustainable because its particularity has nothing to ground it.⁷² Thus late Beethoven is Allegorical in Benjamin's sense because it too denies the synthesis of convention and expression rendered as the objective and the subjective respectively. Furthermore the conventions which appear as fragments in late Beethoven develop fresh meanings in their new contexts. This is a further characteristic of allegory for Benjamin who writes in *The Origin of German Tragic Drama* "Whatever [allegory] picks up, its Midas-touch turns into something endowed with significance."⁷³

The second feature which directly opposes development is the abrupt harmonic shift. These shifts Adorno terms *Rückungen*; for him they mediate between different areas of non-developmental harmonic space.⁷⁴ Adorno does comment on such *Rückungen* in Beethoven as well, but even here points to their significance for Schubert.⁷⁵ While Schubert's wandering is one common feature of his reception

⁶⁹ Adorno (1998), 126.

⁷⁰ Ibid. 161.

⁷¹ Bowie (1997), 225.

⁷² Ibid. 228.

⁷³ cit. Rochlitz (1996), 103.

⁷⁴ Adorno (1982), 27.

⁷⁵ Adorno (1998), 93.

(coupled with pejorative associations of somnambulism, aimlessness and lack of structure) the sudden harmonic turn is another. This feature too comes loaded with hermeneutic interpretations of this shift as an outburst of volcanic temper,⁷⁶ as a departure from a stable homeland,⁷⁷ as a move towards the land of dreams,⁷⁸ and as a moment of redemption, of which these are merely a few representative examples. Adorno sees 'those sudden, non-developmental, never mediated modulations' as shifts of the perspective from which Schubert's landscape is viewed, this spatialisation of musical material again implying stasis of material as something which is gazed at rather than moving itself. The composer becomes the subject who casts pre-existing material in different lights: 'The only change they [Schubert's themes] undergo is a change of the light.'⁷⁹ (A similar point is made in *Spätstil Beethoven* about the role of subjectivity in these works.) The shift in perspective is epitomised for Adorno by Schubert's tendency to reuse thematic material in contexts which illuminate it in contrasting ways. In connection with this he cites the reuse of the Rosamunde music in the A minor quartet and the Impromptu D.925 no 3.⁸⁰ Schubert's shift of perspective is not just between different pieces though, but also within individual ones including the *Moments Musicaux*, *Impromptus* and sonata forms. In particular Adorno points to the use of contrasting themes in the Piano Sonata D.845, not between first and second subject, but with both themes in each key area. This suggests to him not a motivic economy in the name of unity, but as an expanded return to the same.⁸¹

Both the non-developmental nature of the material and the spatialisation of Schubert's music as landscape to be viewed from different perspectives suggests to Adorno a sense of timelessness. For him, 'Schubert's forms are testaments to that which once was, not metamorphoses of the newly contrived.'⁸² The sense of 'pastness' of the material is described by Adorno as 'recovered time' or '*wiedergefundene Zeit*'.⁸³ The sense of timelessness, however it is created, is

⁷⁶ MacDonald, H., 'Schubert's Volcanic Temper', *The Musical Times* 119 (1978), 949- 52.

⁷⁷ Pesic (1999), 136-144.

⁷⁸ Schachter, C., 'Motive and Text in Four Schubert Songs', in *Unfoldings* (Oxford, 1999), 209-220; 216ff.

⁷⁹ 'Aller Wechsel an ihnen ist Wechsel des Lichtes.' Adorno (1982), 25.

⁸⁰ R. V Hoorickx elaborates on this tendency noting many other instances of Schubert's self-quotations. 'Schubert's Reminiscences of His Own Works' *Musical Quarterly* 60 (1974), 373-88.

⁸¹ Adorno (1982), 26.

⁸² 'Schuberts Formen sind Formen der Beschwörung des einmal Erschienenen, nicht der Verwandlung des Erfundenen.' Adorno (1982), 27.

⁸³ *Ibid.* 32.

reminiscent of both Schelling's experience of the absolute lying outside time and only experienceable through art, and of Novalis's description of the kingdom of the night, his own Romantic nether-realm of higher consciousness: 'To light was allotted its span of time, but night's dominion knows neither time nor space.'⁸⁴ Here we begin to see that Adorno still experiences Schubert's music as expression of the inexpressible, a feature which will be considered later.

Having established that Adorno sees Schubert's music as negating Romantic 'becoming' in favour of a spatialised timelessness, we move to a consideration of the coherence of these works. For Adorno, Schubert's music is the language of the potpourri in which thematic cells are stacked together [*zusammengeschichtet*]. He sees the potpourri as negating a theory of organicism; at any rate it negates one which is necessarily teleological, each cell engendering the next.⁸⁵ However it does not negate a sense of unity to these works; rather the threads [*Züge*] of the work, scattered with the decline of subjective unity, move together towards a new unity.⁸⁶ Herein also lies the connection with death for Adorno. The new law according to which the stacked cells of the potpourri arrange themselves is a different one from that which organises a unity of living things. For Peter Bürger this is also a condition of modernity:

Artists who produce an organic work treat their material as something living For avant-gardistes, on the other hand, material is just that, material. Their activity initially consists in nothing other than in killing the "life" of the material, that is, in tearing it out of its functional context that gives it meaning.⁸⁷

This is exactly what Adorno identifies in both late Beethoven and Schubert. The two differ in that the material which Beethoven wrenches out of context is

⁸⁴ 'Zugemessen ward dem Lichte seine Zeit; aber zeitlos und raumlos ist der Nacht Herrschaft.' Novalis (1981) 153, trans. Haywood, B. *Novalis: The Veil of Imagery: A Study of the Poetic Works of Friedrich von Hardenburg (1772-1801)* (Harvard, 1959), 58.

⁸⁵ 'Allein es ist mit der Konstruktion aus dem Potpourri gerade jene organologische Theorie strikt verneint. Solche Einheit wäre notwendig teleologisch: jede Zelle in ihr machte die nächste notwendig . . . ' Adorno (1982), 22.

⁸⁶ 'Im Potpourri rücken die Züge des Werkes die mit dem Untergange der subjektiven Einheit in ihm zerstreut sind, zu einer neuen Einheit zusammen . . . ' Ibid. 22.

⁸⁷ Rochlitz (1996), 222.

conventionalised figures, trills, cadences, musical devices, whereas Schubert stacks together themes and topics.

Adorno invokes a new metaphor for the a-teleological organisation of Schubert's form, describing it as crystalline. To the Romantic imagination, the crystal was also an image of the organic. Friedrich Schlegel, for example, writes:

We everywhere discover such [organic] forms in nature throughout the whole range of living powers, from the crystallization of salts and minerals to plants and flowers, and from these again to the human body. In the fine arts, as well as in the domain of nature – the supreme artist, all genuine forms are organical, that is, determined by the quality of the work.⁸⁸

The metaphor of the crystal is a powerful one on many levels. In the first place it denotes an organic interconnectedness of parts to whole, but one which is sedimented as that which has been grown rather than as that which is in growth/production. This is strengthened by Adorno's comment that Schubert's music is more grown than made [*mehr gewachsen als gemacht*].⁸⁹ It is also affirmed by his assertion that the crystalline is opposed to the vegetal, the latter suggesting unfolding life, the former evoking a type of dead organicism. The ambivalence inherent in this image of something which is both organic and dead betrays Adorno's reluctance to find Schubert truly Allegorical. In the second place it evokes a similar kind of spatialised conception of music to that of Beethoven. The image of the crystal evokes a certain equality to the interconnectedness, comparable to the landscape metaphor in which each point lies comparably close to the centre. Furthermore, the crystal is something to be gazed at which refracts the light of subjectivity which the composer shines on it as the perspective continually changes. In the third place, the term crystalline contains something of Adorno's historical conception of musical material.⁹⁰ This is clearly important for his understanding of Schubert's music which becomes meaningful because of its dialectical play with a handed-down sonata-form schema:

⁸⁸ cit. Todorov (1982), 180.

⁸⁹ Adorno (1982), 23.

⁹⁰ As Max Paddison explains 'at the level of the form of particular musical works, expression is the outcome of the development and recontextualization of handed-down material, as the expression of new "meanings" - meanings which themselves constitute new expressive gestures.' (1993), 250.

A perceptive analysis of Schubert's form, which has hitherto not been tackled, but which is programmatically clear, would above all return to the dialectic which exists between the pre-existing sonata-schema and Schubert's second crystalline form⁹¹

Intransitivity is clearly a problematic concept to apply to Schubert's music, which often has its origins in social dance or song-types with established generic meanings. Such gestures are clearly more strongly associated with Schubert than with Beethoven. Indeed Adorno's discussion of the encoding of objective reality in Beethoven leads him to discuss Schubert's great C major symphony.

In the first movement . . . we feel for a few moments as if we were at a rustic wedding; an action seems to begin unfolding, but then is gone at once, swept away in the rushing music which, once imbued with that image, moves onwards to quite a different measure. Images of the objective world appear in music only in scattered, eccentric flashes, vanishing at once; but they are, in their transience, *of music's essence*.⁹²

That Schubert draws on the conventional material of the military march, the social dance and other images of bourgeois Viennese *gemütlichkeit* is a common theme of Adorno's description of Schubert, not to mention critiques by many others before and since him. More revealing is the suggestion of the above fragment that the music represents a turn away from these images of society. This turn is a common trope of Romanticism in literature, poetry and painting. One of the most notable examples in Schubert is that of the wanderer of *Winterreise*, whose turn away sparks off the series of fragmentary reflections which constitute his external and internal journeying. Another similar example is a more explicit turn inwards to the land of dreams, the harmonic move to the flattened submediant of *Nacht und Träume* D.827.

⁹¹ 'Eine wahrhafte Formanalyse Schuberts, wie sie bislang noch nicht in Angriff genommen wurde, wie sie aber programmatisch völlig klar steht, hätte vor allem der Dialektik nachzugehen, die zwischen dem vorgesetzten Sonatenschema und Schuberts zweiter, kristallinischer Form waltet' Adorno (1982), 27.

⁹² Adorno (1998), 8.

As Schachter has argued, this region is felt as tonally solid, the vocal line arpeggiating the triad on $\flat VI$, but revealed by the underlying voice-leading to be transitory and insubstantial.⁹³ A third example is that of the flower of Mayrhofer's *Heliopolis I*. Here the wanderer searches for the kingdom of the sun but men can give him no answer as to its whereabouts. The wanderer then turns to the flower chosen by Helios, who in turn urges him to turn towards the sun.

Perhaps the most significant turn for Schubert is that of *Mein Traum*, the Allegorical tale which he wrote in 1822 and which has elicited a barrage of conflicting interpretations. Here the protagonist turns away from a feast to wander into far off lands. Ilija Durhammer has noted certain similarities between this tale and Novalis' tale of Hyazinth and Rosenblüte from his unfinished novel, *Die Lehrlinge zu Sais*.⁹⁴ In this tale the turn away from home is even more important for our investigation. When Hyazinth leaves behind society it is for a landscape which, as Gordon Birrel points out, becomes increasingly devoid of isolated phenomena but also becomes a subjective reflection of his inner self.⁹⁵ When Schubert's protagonist leaves the social images of home he enters a world of pure subjectivity expressed here not as landscape but as a song which is divided between love and pain, just as for Adorno, Schubert's landscape is split between major and minor pointing ambiguously both up and down simultaneously.⁹⁶

The departure from a stable home towards a nether-world is another frequently-recurring theme of Adorno's critique of Schubert. The bright overworld is for him little more than a point of departure or an initial point of perspective from which to view the other dimensions.⁹⁷ And in the realms which Schubert's music reaches, the particularity of the words which Schubert sets is revealed as empty signification. The composer's inability to distinguish between the great poetry of Goethe and the supposed hackwork of Mayrhofer is indicative for Adorno of the failure of all words in that realm.⁹⁸ Freed from images of the real world, Schubert's music attains an intransitive immediacy described at the end of the article:

⁹³ Schachter, 'Motive and Text' (1999), 209-220.

⁹⁴ Durhammer, I., 'Zu Schuberts Literatūraesthetik', *Schubert durch die Brille* 14 (1995), 5-99.

⁹⁵ Birrel (1979), 15.

⁹⁶ 'In der nach Dur und Moll geschiedenen Landschaft steht er zweideutig wie die mythische Natur selber, nach oben und untenweisend zugleich.' Adorno (1982), 30.

⁹⁷ Ibid. 29.

⁹⁸ 'Seine blinde Neigung, in der Textwahl mythologischen Gedichten zu folgen, ohne da zwischen Goethe und Mayrhofer noch viel Unterschied zu machen, markiert aufs drastischste das Versagen allen Wortes in jenem Tiefenraum . . . ' Ibid. 29.

Before Schubert's music tears flow from the eyes without first consulting the soul; it works on us without images. We cry without knowing why; because we have not yet become what that music promises⁹⁹

The synthetic aspect of Adorno's critique of Schubert is less significant than for Beethoven. As we have seen Beethoven's music becomes philosophy both mirroring and making possible the Hegelian dialectic. Beethoven encodes social tendencies within his material, synthesising objective form and subjective freedom within his mid-period works as classical symbol, and denying that synthesis in his late style works as allegory. Adorno's critique of Schubert makes less grand claims for the music, perhaps in part because it is a relatively early essay, but it is still understood as inherently linked to other art forms. Explicitly the music is continually likened to landscape painting in a manner which spatialises the former and imbues the latter with a complex sense of time. In his Beethoven fragments Adorno also implicitly links music with the *Märchen*:

The dispute whether music can portray anything definite, or is only a play of sound-patterns in motion, no doubt misses the point. A far closer parallel is with the dream, to the form of which, as Romanticism well knew, music is in many ways so close.¹⁰⁰

Dreams are indeed important for Romanticism in general. In Novalis they are embraced as vessels of poetry and truth, and rejected by characters who stand as metaphors for enlightenment rationalism (the father of the eponymous Heinrich von Ofterdingen and the Scribe in the tale of *Eros und Fabel* from the same novel).¹⁰¹ For Adorno it is the disconnected quality of music which makes it dream-like, flashes of objective reality leading away towards timeless subjectivity. For Novalis this is

⁹⁹ Adorno (1982), 33.

¹⁰⁰ Adorno (1998), 8.

¹⁰¹ Heinrich's father for example says 'Dreams are idle fancies, no matter what your so-called learned gentlemen think of them, and you would be well advised to turn your mind away from such useless and harmful reflections.' ['Träume sind Schäume, mögen auch die hochgelehrten Herren davon denken, was sie wollen, und du thust wohl, wenn du dein Gemüt von dergleichen unnützen und schädlichen Betrachtungen abwendest.'] Novalis (1981), 243. trans. Haywood (1959), 94.

also the quality of the Romantic tale: 'In a true *Märchen* everything must be wonderful – mysterious and disconnected. . . . A *Märchen* is . . . an ensemble of wonderful things and occurrences – e.g. a *musical fantasy* – the harmonic progressions of an Aeolian harp – nature itself.'¹⁰² Thus Schubert's music as exemplified by the development of the great C major symphony becomes dreamlike and *Märchen*-like because of this fragmentary disconnected fantastic quality. But if Schubert writes music which is similar to the *Märchen*, he also writes a *Märchen* which aspires to the condition of music, which mirrors its sudden turns away from reality, which mirrors its disconnected fantastic quality and which unites conflicting emotions of love and pain in further syntheses leading not to a despairing death but to death as a release, as the dissolution of time. Just as in Beethoven music and philosophy mirror each other synthetically, so in Schubert do music and the Romantic tale.

As well as being synthetic by making music, landscape and *Märchen* interpenetrate, Adorno's Schubert reconciles opposites of love and pain each casting the other in a different perspective. 'The rescue happens in the smallest step; in the shifting of the minor to the major third; so close they are to each other that the minor third appears after the unveiling of the major to be its shadow.'¹⁰³ Similarly all the fragmentary threads of the potpourri are also synthesised according to a different law.

Aspects of our final category of the Romantic symbol, the expression of the inexpressible, have already been seen in our discussion of the others. Articulated in different ways, Schubert's music turns towards a dark underworld, the realm in which all words fail; this place is turned towards when an image of objective reality is departed; his music bears the message of man's qualitative change. Despite this, the inexpressible is always coloured by something else. The message promises what we have not yet become, the underworld is approached from a brighter overworld, that which is departed is an image of social revelry (the rustic wedding) and Schubert as a whole is cast in an aura of petty bourgeois sentimentality which haunts his reception (although Adorno thinks it clearly has a place there).

¹⁰² Birrel (1979), 118.

¹⁰³ 'Die Rettung geschieht im kleinsten Schritt; in der Verwandlung der kleinen in die große Terz; so dicht rücken beide aneinander, daß die kleine Terz nach dem Erscheinen der großen als deren Schatten sich enthüllt.' Adorno (1982), 31.

Any investigation of this complex article must take one of two paths. On the one hand, it could risk plummeting into the depths of Benjaminian abstraction in the hopes of ironing out Adorno's philosophical stance on Schubert. (References to crying, unveiling of images, death and transitoriness, especially those which open the article resonate strongly with the writings of Benjamin's own aesthetics of mourning with which Adorno was familiar.) That Adorno sent a copy of this article to Benjamin further serves to affirm the connection.¹⁰⁴ On the other hand, the reader of the article can attempt to draw specific analytical conclusions about Schubert's music in general. Here we must confront one of the most problematic areas of Adorno's critical method: the technical analytical side. Either specific musical analysis is conspicuous by its absence – instead we find ourselves swamped by mystical prose such as that which characterises the opening three pages of this article – or his 'immanent analyses' are, as Max Paddison puts it, 'disappointingly traditional on a technical level, and do not convincingly bridge the gap between technical analysis and philosophical interpretation.'¹⁰⁵ This is demonstrably true for Adorno's Schubert article which theorises expansively about the qualities of the composer's music but predominantly cites general features of the music and rarely mentions details of specific pieces. Adorno's observations do, however, have important implications for musical analysis and resonate strongly with subsequent scholarship on technical features of Schubert's work. These technical features fall broadly into the following four categories whose features I will expand on in my next section.

Firstly, the central theme of Adorno's critique is Schubert's approach to form. I have shown that Adorno sees form in Schubert as engaging dialectically with previous sonata-form schemata, becoming meaningful through this engagement. At the same time, a qualitatively different sound-world is created in which form is conceived less teleologically and more spatially. Development is negated in favour of the sudden turn and material which is considered to be somehow 'dead'. This is a problem with which analysis of Schubert has been grappling, although it is expressed in less metaphorical terminology. My study of form and structure in Schubert's music will consider both the conflicting technical features of approaches to these areas, and the variety of qualitative metaphors which arise from these analyses.

¹⁰⁴ See Adorno, T.W., *The complete correspondence, 1928-1940 / Theodor W. Adorno and Walter Benjamin* (Cambridge, Mass. 1999), 3.

¹⁰⁵ Paddison, M., 'Adorno's Aesthetics of Modernism', in *Adorno, Modernism and Mass Culture* (London, 1996), 69.

Secondly, Adorno sees Schubert's music as often creating passages of timelessness or recovered time which contrast with areas in which time may be felt to flow more freely. This suggests the necessity of an analytical approach which studies the rhythmic aspects of his music. These may include the development of rhythmic figures throughout a piece; the understanding of a piece in terms of a hierarchy of structural upbeats and downbeats; a sense of conflict arising from an ambiguous rhythmic patterning; and the 'phrase rhythm' of a piece, which may be understood for the moment as a combination of hypermeter (the sense of counting single bars as beats within larger metaphorical bars) and phrase structure.¹⁰⁶

An important aspect of Schubert's music for Adorno is clearly the conventional nature of some of his material. The topical nature of his music as tamed military march, bourgeois dance or otherwise encoded social reality is evidently an important feature for Adorno. The role of conventions is particularly important for early Romantic opera which draws on the conventions of a wide range of genres operatic and otherwise. At the same time, these conventions are clearly there to be subverted. The rustic wedding appears only as a flash of objective reality, the bright overworld is but a point of departure, the bourgeois nature of Schubert's musical character is not the only way in which he deserves to be understood. The perceived characteristics of keys are also compositional conventions which were important to the early nineteenth-century composer, whether or not they may be heard as meaningful in the same way. Certain types of instrumental figuration carry conventionalised meanings, while particular gestures (such as slow dactylic rhythms) are also loaded with meaning. The analysis of conventions and how they interact and reinforce or negate each other, my third analytical category, may be defined as semiotic. Rather than constructing a taxonomy of Schubert's musical topics and signs, a task which would be both dauntingly huge and methodologically questionable, it is my intention to show how these semiotic features function to become meaningful.

Finally, there are aspects and features of Schubert's music which do not fall easily into these other categories. I will describe these features as hermeneutic for reasons which will become clear later. Adorno's lack of reference to specific works makes identifying these features slightly harder. One possible type of hermeneutic

¹⁰⁶ The term 'phrase rhythm' is defined at length by William Rothstein [*Phrase Rhythm in Tonal Music* (New York, 1989)] and will be discussed later.

event is the recasting of material from another work in such a way that it is seen in a different perspective. While Adorno cites the obvious parallels between the 'Rosamunde' music, the B_♭ impromptu and the A minor string quartet [D.804], Schubert's borrowings are sometimes mere gestures taken either from his own oeuvre, or from other musical sources. Just as his semiotic gestures are often negated by other features of the music, his thematic references often generate meaning through contrast with surrounding material.

The hermeneutic gesture in Schubert need not necessarily be a reference to another work. Often features which are not easily assimilated to the syntax of his musical language demand interpretation, narrative or otherwise, and critics of Schubert's music, particularly the more recent ones, have rarely been reluctant to answer this calling!

But it is not only brief musical gestures which carry a hermeneutic sense. Idiosyncratic formal devices, sometimes a result of the experimentation of the 'years of crisis' may also be understood as meaningful, perhaps as a means of shaping the dramatic progression of a song or operatic number, perhaps suggesting something more significant about its content. Furthermore there is some ambiguity in Adorno's critique as to the overall tone of Schubert's works. On the one hand he evokes a strong Romantic sense; we have already seen in this section how Adorno's critique of Schubert's musical language evokes qualities which are reminiscent of Todorov's characterisation of the Romantic symbol, as well as others which hint at the Benjaminian allegory which is important for late Beethoven. And yet towards the end of Adorno's Schubert article there are descriptions of banality, triviality, easy drunkenness and an earthy unartistic quality. Earlier in the article he describes Schubert's suitability to the Biedermeier story of the *Dreimäderlhaus*. My investigation of hermeneutics or musical meaning addresses the relationship between these potentially incompatible aspects of Schubert's musical language.

It should already be apparent that the separation of the features of Schubert's music is no less artificial than the separation of dimensions of the Romantic symbol and is imposed for the sake of clarity of thought. Form, even for Schenker, is determined by rhythmic considerations, although graphic analyses often eliminate these. Expressive rhythmic devices may function as conventionalised signs which are altered to create semiotic meanings. Conceptually indeterminate 'hermeneutic' gestures may only become such over time as their objective referents become

increasingly vague.¹⁰⁷ And who is to say when form becomes dramatically expressive as opposed to merely syntactically required? That certain works are used as examples of all these different approaches is evidence both of the need for a less dogmatic approach to analysis and of the richness of the music which I have made it my task to investigate.

¹⁰⁷ On this subject see Kerman, J., 'A Romantic Detail in *Schwanengesang*', in Frisch (ed.), *Schubert: Critical and Analytical Studies* (Nebraska 1986), 48-64.

2.2 Schubert and Form

It is my aim in this section to explore the general (and often extremely vague) comments which Adorno makes about Schubert's music and to ground them in analytical observations about Schubert's form. While Adorno himself rarely discusses particular works in depth in order to support his claims for Schubert's music, there is evidently no shortage of people to do so for him. The study of Schubert's approach to form – and in particular sonata form – has become something of a discipline in its own right, with music scholars of the last century clamouring to interpret its peculiarities in their own unique and often conflicting ways.

It would be helpful at this point to recall those of Adorno's observations which clearly have a bearing on form. Firstly there are a variety of comments which allow Schubert's form to be considered spatially rather than temporally. The music is discussed in terms of its landscape character; it does not move ceaselessly forward towards an inevitable conclusion but is circled around; the circuitous journey is likened to that of the traveller of *Winterreise* or the wandering of the miller of *Die schöne Müllerin*. While the music often gives the impression of moving forward and developing, actually each of the dissociated points on the journey is seen by Adorno as equally close to the midpoint and also to death. This does not render the music incoherent for him, rather he appropriates a different nineteenth-century organic metaphor, that of the crystal, to discuss the different manner in which it coheres. My unpacking of this metaphor in the previous section suggested that its lattice-like structure reflects the interconnectedness of all points on Schubert's musical landscape. A crystal is also both organic and dead at the same time; it is something grown rather than growing. In connection with this idea, Adorno at one point opposes the crystalline to the vegetal.¹ Later, however, these find a peculiar synthesis in his description of 'forests of ice flowers' [*Eisblumenwälder*]. This image is strongly reminiscent of others in *Winterreise* in which a synthesis is both denied by the imagery of flowers and icicles which Müller continually juxtaposes, and affirmed when the traveller mistakes the icicles on his window for leaves in the eleventh song (*Frühlingstraum*).² I pointed out that Adorno may also use the term crystalline in the

¹ Adorno (1982), 23.

² 'Doch an den Fensterscheiben/ Wer malte die Blätter da?' ['But who painted the leaves on the window panes?']

sense of having crystallised historically. The music becomes meaningful because of its relationship with the sedimented conventions of sonata form.

Within the space of Schubert's musical landscape there are harmonic turning points which negate a traditional sense of development. The organic unity characteristic of more teleological music is negated by the potpourri of contrasting thematic events. Whereas the former type of music functions through each cell necessitating the next, in Schubert the move from one cell to the next is accomplished in a different way, by sudden harmonic shifts or *Rückungen*. That Schubert often modulates without much or any preparation is a frequently observed characteristic of his music dating from contemporary criticisms of his works as bizarre,³ through Tovey's more traditional analyses,⁴ to the more recent critiques of sonata form of Charles Rosen, James Webster and others. What Adorno adds to this idea is that each of these shifts is a shift of perspective, or a change of the light. As we have seen, he relates it to the composer's tendency to reuse material both across different works and within particular ones. The sudden harmonic shift may show up the same material in a different light or give it a different meaning. Furthermore these *Rückungen*, while devastating in their effect, often occur in the smallest of steps [*geschieht im kleinsten Schritt*].⁵ Most importantly they traverse the distance between areas of harmonic space which are equally non-developmental.

One further feature of Adorno's critique of Schubert is the ambiguity of the function of an altered chord, in particular the alteration of a minor chord to the major or vice versa. This ambiguity is apparent in aspects of tonal design which, like this chord, may point in two opposed directions at once. One of the characteristic traits of Schubert's music is to play on such harmonic ambiguities to create particular effects. The meaning of this musical signpost will become apparent when we discuss particular pieces.

There are several features of Schubert's form which lead it to be viewed as problematic. One of the most obvious is the repetition of large sections of music often in closely related keys which led Tovey to characterise the exposition of the Quartet in G D.887 as enormous and very redundant and the Quintet in C D.956 as

³ An early review of *Die Zwillingsbrüder* for example berates Schubert for moving 'restlessly through modulations [allowing] no point of repose.' From Wiener *AmZ* cit. Deutsch (1946), 137.

⁴ See esp. Tovey, D.F., 'Tonality [in Schubert]', *Music and Letters* 9/4 (1928), 340-363.

⁵ Adorno (1982), 31.

equally diffuse ‘like every large instrumental work of Schubert,’⁶ others to question the necessity of both sets of repeat marks in the finale of the *Forellenquintett* and performers such as Alfred Brendel to judiciously ignore the exposition repeat of the late B flat sonata D.960 (although this omission is largely because of the disruptive nature of the ‘first time bar’ material).⁷

Much ink has also been spilt on the subject of Schubert’s unusual and often abrupt modulations and the complicated tonal schemes which result from these. In particular Schubert’s expositions receive a great deal of attention; they often articulate three substantial key areas, the middle key often being a diatonic third relation of the tonic.⁸ Schubert’s recapitulations are also frequently unconventional, beginning variously in the dominant, the subdominant, on the flattened leading note, not to mention with significantly altered material, or with the ‘wrong’ theme altogether.⁹

In addition to the third-related middle key areas of the exposition, many writers have also noted cycles of third-related keys which appear to suspend the logical necessity of conventional diatonic functions. Richard Taruskin, for example, notes a complete cycle of thirds ‘inserted’ within a cycle of fifths towards the end of the finale of the Great C major symphony D.944.¹⁰ He also observes that the opening of the *Sanctus* of the E flat Mass D.950 also contains a cycle of thirds supported by a descending whole-tone scale in the bass.¹¹ William Kinderman also notes a similar cycle in the first ‘movement’ of the F minor fantasy D.940 (bars 48-91),¹² while Richard Cohn points to a passage of third related and modally matched keys in the E flat piano Trio.¹³ Locally these key cycles may be heard in various different ways. On a larger scale their structural significance causes analytical headaches as we try to

⁶ Tovey (1928), 355.

⁷ Brendel, A., *Music Sounded Out* (London, 1990), 80-84.

⁸ These *apparent* three-key expositions are discussed at length by James Webster in the first of his two landmark articles ‘Schubert’s Sonata Form and Brahms’s first Maturity’, *Nineteenth-Century music* 2 (1978/79), 18-35.

⁹ See esp. Coren, D., ‘Ambiguity in Schubert’s Recapitulations’, *The Musical Quarterly*, LX/4 (1974), 568-82. While there are many examples of subdominant recapitulations, the others are less common but equally justifiable within their own contexts. The finale of the *Forellenquintett* begins in the dominant, while the recapitulation of the *Quartettssatz* begins with the second theme in B flat, in contrast with the opening C minor.

¹⁰ Taruskin, R., ‘Chernomor to Kashchei: Harmonic Sorcery; or, Stravinsky’s “Angle”’, *Journal of the American Musicological Society* 38 (1985), 72-142; 81.

¹¹ *Ibid.* 85.

¹² Kinderman, W., ‘Schubert’s Tragic Perspective’, in Frisch (ed.), *Schubert: Critical and Analytical Studies* (Nebraska, 1986), 65-83.

¹³ Cohn, R., ‘As Wonderful as Star Clusters: Instruments for Gazing at Tonality’, *Nineteenth-Century Music* 22/3 (Spring 1999), 213-232; 215.

interpret these (as well as the other features) within dogmatic schemata which were not designed to accommodate them.

While many musicologists write extensively about these and more unusual key progressions, they tend to have different axes to grind. As a result they generally fall into three broad categories. Firstly, there are those who attempt to interpret Schubert's more unconventional key-schemes within conventional (often Schenkerian) models, arguing that they can be heard both to fit within and to support these models without disrupting their integrity. Secondly, there are others who seek different explanations for these forms and offer alternative ways in which to hear them. Thirdly, there are those who use the same pieces to support a view of Schubert's form as wandering or indeterminate and drawing any number of conclusions about cultural meaning from this interpretation of the pieces. Such theorists in my view come into their element when, as Suzannah Clark puts it, 'theory seems to abandon the music.'¹⁴ Cohn rightly berates these critics not so much for the conclusions which they draw, but rather for making the assumption that the appeal to a system *per se* denies access to broader cultural questions. 'Systems', he writes 'are cultural products too and as such can be subject to correspondence with phenomena external to them.'¹⁵ It is my intention to explore the usefulness of the different models proposed for analysis and their significance for interpretation, as well as their relationship to Adorno's ideas regarding form.

Adorno asserted that the repetition of a substantial portion of music may be a matter of casting it in a different perspective. The new section may arise as a thematic variation of the old. Alternatively the new light in which it is seen may be due to a change of instrumentation or texture. The thematic material may be varied upon its return in a manner which suggests that intervening development has rendered a literal recapitulation impossible. The harmonic or voice-leading function of the material may also have altered within its new context while the material itself remains essentially unchanged.

One of the few critics to engage with Adorno's Schubert analytically is Carl Dahlhaus in his seminal article on Schubert's sonata form.¹⁶ Although Dahlhaus is

¹⁴ Clark, S., *From Nature to Logic in Schubert's Instrumental Music* (Princeton, 1997), 34.

¹⁵ Cohn (1999), 231.

¹⁶ Dahlhaus, C., 'Sonata Form in Schubert: The First Movement of the G-Major String Quartet, op. 161 (D887)', trans. Reinhard in Frisch (ed.), *Schubert: Critical and Analytical Studies* (Nebraska, 1986), 1-12.

not particularly forthcoming about his debt to Adorno, the major themes of the Schubert article are clearly evident in this essay. He opens by writing that ‘Schubert’s lyric-epic sonata form ought not to be measured by the standards of Beethoven’s dramatic-dialectic form’¹⁷ and goes on to discuss the way in which Schubert meanders around the theme illuminating it from different sides. Focusing on the late G major Quartet D.887, he demonstrates that both first and second groups are subjected more to variation principles and associative logic than dynamic drive. However, that which is varied is not a theme as such, rather a configuration of ideas inherent in the opening bars. It would appear that having initially established Schubert’s freedom from models designed to explain Beethoven, Dahlhaus is suddenly allowing Schubert to play Beethoven on his home ground. However, the pace of Schubert’s music (and the lack of strong tonal goal orientation) admits for Dahlhaus the possibility of coherence and logic without the necessity of forward drive. A section ends not because logic has brought us to the conclusion, but because it is time (or long past time?!) for it to do so.



Example 2.2.1

The sonata exposition of Schubert often arises from the variation of whole thematic units. The A major sonata D.959 is a case in point; compare bars 1-6 with bars 16-21 (Example 2.2.1). The development section with its elaborated cadential figure and suspended B/C motion (discussed section 2.1) involves a similar variation technique. In the G major Sonata D.894, the huge transition section with its persistent A pedal also results in an expansive variation. Often however the degree of the variation is not very pronounced. A change of instrumentation and accordingly a change of figuration, characterises the openings of the *Forellenquintet* and the B flat piano Trio D.898. In the former piece the scoring is inverted between the occurrences of the first main theme (bb.25-37 and 38ff) so that violin 1 takes over the piano’s

¹⁷ Ibid. 1.

ascending arpeggiated gesture while the piano appropriates the violin's initial line. The diminution of the middle parts from quavers to triplets adds to the forward momentum of the music. In addition to the inverted scoring, the violin contributes an appoggiatura to the climax of the arpeggio, while the piano ornaments and expands upon the original line. The double exposition of the main theme of the B flat Piano Trio (bb.1-11 and 26-36) behaves in a similar manner, violin and cello taking on the accompanying function of the piano in the second section while the piano sings in resonant octaves.

The image displays two systems of a musical score for Schubert's 'An den Mond' D. 402. Each system consists of a vocal line (soprano) and a piano accompaniment (treble and bass staves). The key signature is B-flat major (two flats). The first system of music includes the lyrics: 'was, von Men - schen nicht ge - wusst o - der nicht be - dacht, durch das'. The second system includes: 'La - byrith der Brust wan - delt in der Nacht,'. The piano accompaniment is characterized by arpeggiated figures and triplet rhythms, as mentioned in the text. The vocal line is melodic and expressive, with some notes marked with slurs and accents.

Example 2.2.2

An expressive change of scoring takes place in Schubert's second (and better known) setting of Goethe's *An den Mond* D. 402. The return to the opening material for the final two strophes is altered in a manner which reflects the meaning of the text. In the first half of the strophe, the piano doubles the melody an octave higher than before. In the second half, the voice becomes an inner part while the original melody is carried in the piano line. This vocal turn inwards doubles the inward turn of the poet who shuts himself off from the world for the labyrinthine depths of his own

heart. Lawrence Kramer sees the expanded doubling and move to the lower voice as encoding musically the homoerotic overtones of the bonds of male friendship.¹⁸

Both the slow movements of the last two piano sonatas involve a return to the same material, but with an added figure which suggests that literal return is impossible after the dramatically 'other' intervening material. In D.960 the dotted rhythm is removed and a semiquaver figure is added to the bass. In D.959 the additional feature is a similar semiquaver figure only as an inverted pedal around the fifth degree of the scale, reminiscent of a similar iconic figure in the setting of Seidl's *Das Zügelglöcklein* D.871 which predates the sonata by two years and perhaps suggests a similar 'calling time' on the piece. Perhaps too it signifies a religious conversion, reminiscent of the chiming bell figure in the accompaniment of *Die junge Nonne* D.828, which Schubert urges the listener to hear with the nun.

Discussing *Ihr Bild*, the composer Dieter Schnebel describes a different sense of perspective which Schubert creates. The opening course of the melody moves from a single point (the opening bare octave) to expand up and down the way creating a sense of sound-space [*Klangraum*] unfolding which parallels the perspectival depth of the picture in which the dreamer loses himself. Schubert, he maintains, tries to capture the sensation of staring transfixed through this narrow melody and sparse rhythm.¹⁹ Schenker also writes of the two-bar introduction 'to repeat that note in slow tempo, and furthermore to repeat it thus, after a crotchet rest, means: we stare at the note.'²⁰

While these examples are of changes of perspective which are very typical of Schubert, they are of purely local effect. We turn now to works in which repeated material takes on a new meaning because of its structural context. David Beach furnishes us with two such examples. The first of these is the reordered material of the unconventional recapitulation of the *Quartettsatz*. He notes that we begin on \flat VII and with the second of the three main themes of the exposition (b. 195). The first theme is recalled only as a closing gesture to the movement (b.305 ff.).²¹ This reordering of the thematic material allows both units to be understood in a new light

¹⁸ Kramer (2000), 115.

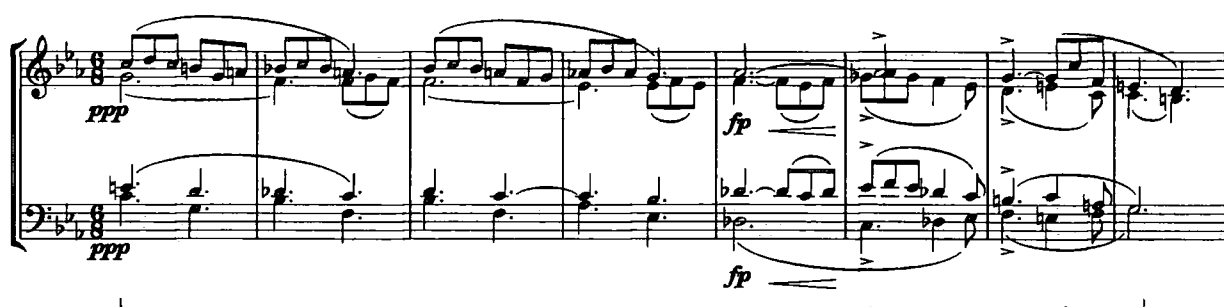
¹⁹ Schnebel, D., 'Klangräume – Zeiträume: Zweiter Versuch über Schubert', in Savoff (ed.) *Aspekte der Musikalischen Interpretation* (Hamburg, 1980), 116.

²⁰ Schenker, H., 'Ihr Bild (August 1928)', trans. Pascall, *Music Analysis* 19 (1) (2000), 3-7; 3. The unfolding of a visual smile in the setting of the second strophe constitutes another instance of *Augenmusik*.

²¹ Beach (1994), 13.

or perspective. When the third theme reappears in the tonic we hear that its underlying progression is the descending tetrachord [C-B \flat -A \flat -G] which characterises the first theme [Example 3]. As well as making audible the thematic connection between themes 3 and 1, the reordering allows the return of theme 2 to assume a peculiar structural significance as part of a large scale tetrachordal progression which mirrors the smaller scale descending tetrachord, central to the first and third themes.

The second of Beach's examples is the second theme from the Quintet in C D.956 (Example 2.2.4, printed at the end of this chapter). A first hearing may lead us



Example 2.2.3

to hear the exposition as a whole as firmly articulating three key areas with the middle theme in E \flat , dissolving the tension between I and V. Indeed this three-key scheme is how Suzannah Clark ultimately urges us to hear both the exposition and the corresponding subdominant section of the recapitulation.²² The section becomes problematic through its refusal to cadence firmly on \flat III. Webster, Rosen and Beach²³ agree that this key is neither strongly enough affirmed nor sufficiently prolonged to hear the music as having modulated. Webster counts it among a number of similar movements by Schubert which appear to modulate dramatically but fail to sustain any degree of stability. Within only a few bars this theme cadences on the dominant, the resumption of \flat III is again undercut by a common-tone 'modulation' back to the tonic leading Webster to conclude that we never really left the home key and that E \flat is not a key but rather a 'gigantic floating pivot chord.'²⁴ In the present context the E \flat sonority is heard as \flat III/I while the cadence on G in the fifth bar of this theme is heard as V/I, echoing the similar cadence only a few bars previously also on (not in) G. Rosen generally concurs with Webster's analysis, although he takes issue with the

²² Clark (1997), 21ff.

²³ Webster (1978), 28-29; Rosen, C., *Sonata Forms* (New York, 1988), 256-58; Beach (1994).

²⁴ Webster (1978), 29.

term 'pivot chord' because of the retaking of the tonic within the first theme.²⁵ For my own purposes Beach's argument is the most illuminating. In this article he explores the persuasiveness of harmonic and linear perspectives on the same pieces. In a linear sense the whole middle section is seen as a composing out of the E-E_b-E inflection within the sequence of chords which opens this movement. In studying the harmonic sense of this passage he agrees that in its initial context the theme functions as \flat III/I cadencing briefly on V. It is difficult to hear it yet in relation to the dominant which has only been briefly cadenced on (b.58). This rings true with another trait which Webster attributes to Schubert; his bizarre progressions of keys may often disguise an underlying reluctance to quit the tonic for another firmly established key.²⁶ However, the first hearing of this theme cadences emphatically (and, as Rosen notes, highly conventionally²⁷) on the dominant. As we begin a second hearing of essentially the same material we reinterpret harmonically the same nodal points, hearing the cadence on G as a glance back to the newly established dominant, the slide to C as IV/V etc. Furthermore, the shift in perspective changes again in the recapitulation as the whole process unfolds again in the subdominant, the middle theme affirming firstly IV (where the music has come from), secondly I (where the music is going to). Thus in terms of perspective the same material stands for the home key which is departed, the dominant to which the exposition is heading, the subdominant which the recapitulation quickly establishes, and the ascent back to I; essentially the same material demands to be heard or 'gazed at' in all of these different ways.

Another work which is notable for the way in which material takes on new functions in different harmonic contexts is the late B \flat sonata D.960. The famous shift to G \flat major in the exposition is a classic instance of this. Charles Rosen has noted Schubert's tendency to take an initial figure which circles around a small interval and expand this interval gradually throughout the piece. In particular he discusses the song *Nachtviolen* D.752 which initially circles around the narrow interval of a fourth

²⁵ 'With a pivot chord, we should find one tonality on the one side and the new one on the other; indeed, the E \flat ought, by rights, to be a pivot chord, but the return to C major erodes its function.' fn to Rosen (1988), 258.

²⁶ Webster (1978), 30.

²⁷ Rosen (1988), 258.

and progressively expands both up and down the way.²⁸ In the first occurrence of the opening theme in the B \flat sonata, the melody begins on B \flat and expands in range from a major third to a perfect fourth, to a diminished fifth. As we shift onto G \flat , two things happen. Firstly B \flat becomes reinterpreted within the harmonic perspective of \flat VI as the third degree of the scale. Thus there is an inversion of voices so that the opening incipit of the tenor line becomes melody, while the original melody line is displaced to the top of the left hand arpeggiation. Secondly an expansion of the type noted by Rosen occurs in the melody triumphantly reaching the breadth of an accented octave²⁹ in bar 25. Furthermore this harmonic shift is to an area in which the left hand becomes more explicitly pianistic, while the right becomes more lyrical and song-like, in contrast to the more homogeneous chorale-like texture of the opening bars. The expansion from a small interval towards larger ones is also explicitly linked by Rosen to the technique of gradually revealing a singer's vocal range in the lied, hence its significance for Schubert and for my interpretation of the G \flat section as emergent lyrical lied.³⁰ Thus the B \flat -G \flat *Rückung* behaves exactly as Adorno describes. It mediates suddenly between two key areas without conventional preparation (the anticipatory trill does not count as harmonic preparation but rather as a 'promissory note' to appropriate Edward Cone's pun³¹) in which neither apparently develops but in which the inversion of voices and the changes of texture may be viewed as different perspectives (social chorale and Romantic internalised lied) on similar material.

This sonata in general is bursting with moments which illuminate similar material in different ways. For one more we need only look at the different ways in which the home key is recovered after the initial excursion described above. In the first case the triad of G \flat is transformed to become part of a German sixth resolving conventionally onto I $\frac{6}{4}$. In this context, Cohn interprets the whole passage as a 'reconnaissance mission in the direction of [the key of F# minor] that will occur shortly',³² emphasising both its internal closure and its anticipatory function. In the

²⁸ Rosen, C 'Schubert's Inflections of Classical Form', in Gibbs (ed.), *The Cambridge Companion to Schubert* (Cambridge, 1997), 72-98; 95. See also *The Frontiers of Meaning: Three Informal Lectures on Music* (New York 1994), 103ff.

²⁹ Walther Dürr has noted the tendency of older Schubert editions to mistake accents for diminuendo hairpins. This seems to be a classic case 'Notation and Performance – Dynamic Marks in Schubert's Manuscripts' Unpublished Paper from Leeds International Schubert Conference 2000.

³⁰ Rosen (1994), 113.

³¹ Cone, E., 'Schubert's Promissory Note', in Frisch (ed.) (1986), 13-30.

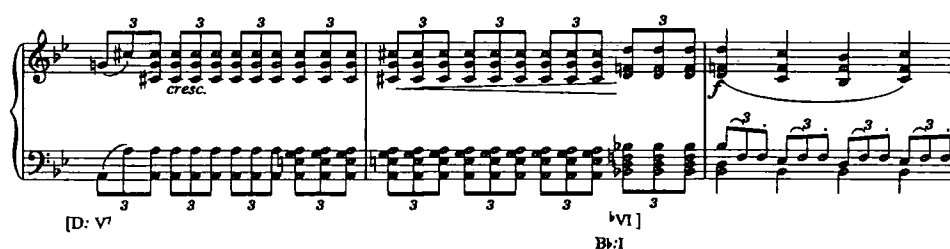
³² Cohn (1999), 222.

recapitulation the second group begins not in F# but a fifth below (or technically a fourth above) on B in order to facilitate the final close on the tonic. There is no real structural need to alter anything before this point of departure and yet Schubert interpolates bars 239-242 (Example 2.2.5) in order to shift the music from G_b up an augmented second:



Example 2.2.5

Perhaps this is intended to dispel the anticipatory function which Cohn claims for G_b/F# when it occurs in the exposition. More importantly, however, the return to the tonic this time is achieved not with the sense of resolution of German sixth to tonic six-four, but with a triumphant upwards gesture from V⁷/III-I, as if home is recaptured not by necessity but by dint of force (Example 2.2.6):



Example 2.2.6

The nodal keys of B_b, G_b and B_b remain the same but their meaning is altered by the new harmonic perspective in which they are cast. Nicholas Marston observes the forceful nature of this return and the illegal parallel fifths which it engenders.³³ He also observes that in the retransition B_b is initially heard as VI/D and that the strength with which the home dominant is asserted becomes gradually dissipated so that the actual moment of recapitulation is heard not as necessary but as a weary return.³⁴

³³ Marston, N., 'Schubert's Homecoming', *Journal of the Royal Musicological Association* 125 (2000), 248-70; 257.

³⁴ *Ibid.* 252-55.

Beethovenian triumph is supplanted by Schubertian resignation. Marston's argument hinges on the metaphorical identification of tonic as 'home'; his conclusion is that Schubert subverts classical procedure by rendering the tonic 'un-homely'. Again reading Schubert's form is considered to be a matter of perspective.

We now turn to Schubert's technique of recapitulating in the subdominant. Rosen describes this in *Sonata Forms* as 'a kind of degenerate recapitulation . . . which made possible a literal reprise of the exposition, transposed down a fifth.'³⁵ This has led to the charge of laziness on Schubert's part, a reprise on IV dispensing with the need to recompose the exposition substantially in order to place the second group and full close in the tonic. However, as Malcom Boyd points out, there is only one clear case (that of the B major sonata D. 575) in which a subdominant recapitulation facilitates the kind of literal reprise which Rosen describes.³⁶ Elsewhere Schubert shies away from using the subdominant simply as an opportunity to compose a perfunctory recapitulation. Indeed in minor key movements (such as the first movement of the fourth symphony in C minor D.417) a subdominant recapitulation provides no simple short cut and yet is retained all the same.³⁷ Amongst other things Boyd concludes that these key schemes satisfy an adventurous sense of tonality which is generally characteristic of Schubert, preserve a nice balance between the outer sections of a sonata form movement, and do not occur after about 1819 anyway.³⁸ It is around this time that the period generally characterised as Schubert's 'years of crisis' begins.³⁹ We will recall from the introduction that this is the period during which Schubert allegedly reviewed his compositional approach.

Unconventional recapitulations may provide methodological problems for music analysts who seek to understand works according to prescribed schemata. We may do well to recall Adorno's suggestion that Schubert's 'second crystalline form' becomes meaningful only when considered against a background of historically sedimented conventions. David Beach furnishes us with Schenkerian readings of different pieces which have different degrees of explanatory power.⁴⁰ I touched upon

³⁵ Rosen (1988), 288.

³⁶ Boyd, M., 'Schubert's Short Cuts', *The Musical Review* 29/1 (1968), 12.

³⁷ Ibid. 19.

³⁸ Ibid. 21.

³⁹ Walther Dürr dates this period from 1818 to 1823, the crisis marking a significant drop in the number of completed large-scale instrumental works, a concurrent drop in his lied output, and a turn towards theatre music. (1982), 11-21.

⁴⁰ Beach (1994) and 'Schubert's Experiments with Sonata Form: Formal-Tonal Design versus Underlying Structure', *Music Theory Spectrum* 15/1 (1993), 1-18.

one of these earlier in my discussion of the idea of perspective in the *Quartettsatz* when I suggested that the reordering of material in the recapitulation allows the relationship between the themes to be understood afresh. I also discussed Beach's interpretation of the opening B \flat section of the recapitulation. He reads it as part of a large scale descending tetrachordal motion C-B \flat -A \flat -G, a reading which is supported by the mirroring foreground motions in the first theme and the third as it appears in the recapitulation. The emphasis which is accorded to the two resolutions of the German sixth on A \flat to I \flat_4 – V \flat_3 on G (bb.247-257) further encourages us to accept Beach's interpretation of the movement as the composing out [*Auskomponierung*] of this large-scale linear progression.

Things become more complicated when Beach seeks to understand subdominant recapitulations in a more explicitly Schenkerian framework.⁴¹ The works he chooses to analyse include two with recapitulations which begin on the tonic but quickly turn towards the subdominant (the first movements of the Quintet in C D.956 and the G major Quartet D.887) and one which actually begins on IV (movement I of the *Forellenquintett* D. 667). In the case of the Trout Quintet movement, Beach presents us with two alternative ways of reading the subdominant return. Either the piece may be understood as an interrupted structure in which the return to $\hat{3}/I$ coincides not with the thematic recapitulation but with the return of the second theme, or the whole movement may be understood as a single undivided motion. In the case of the interrupted structure, the one which Beach ultimately favours, the subdominant return becomes interpreted as providing the seventh of $\hat{2}/V^7$ and this solution is privileged for the way in which IV supports an underlying structural norm.⁴² The C major quintet, however, is denied the power of a structural return of the tonic altogether; rather the tonic return at the recapitulation is a passing area between V and IV.⁴³ Beach cites a similar case in the second movement of the 'Unfinished' Symphony where a tonic return is better interpreted as V⁽⁷⁾/IV. He also analyses the first movement of the G major Quartet D.887 in a similar manner, arguing that there is no interruption and that the shift to IV supports the $\hat{4}$ of a $\hat{5}$ -line *Ursatz*. For reasons which will become apparent, understanding of this movement suffers through trying to view it through a purely Schenkerian lens.

⁴¹ Beach (1993).

⁴² Ibid. 13.

⁴³ Ibid. 14.

Part of the problem with Beach's analysis lies in his fleshing out of the distinction between design and structure, something which is inherent in Schenker's theory and which recurs throughout the writings of post-Schenkerian analysts which he cites in support of this separation.⁴⁴ Beach does not deny the right of certain areas to assert themselves as keys, but rather seeks to understand which of these may command structural force. Thus for Beach, structure may be defined as underlying voice-leading, while design includes all aspects of organisation which are superfluous to this. Suzannah Clark launches a two-pronged attack on this separation both by tracing the roots of nineteenth-century theory in supposedly natural models and by substituting more 'logical' readings of Schubert's tonal structures. Clark examines the endeavours of German dualists from Hauptmann to Riemann to uncover natural origins of tonality which reach the height of their silliness with Riemann's infamous postulation of an undertone series as the natural origin of our minor mode, an idea which he himself was later to reject.⁴⁵

While Riemannian harmonic theory is now undergoing something of a renaissance, Cohn points out that it is shorn of some of the more unpalatable aspects of dualism.⁴⁶ The roots of Schenkerian theory in models of nature are generally accepted, but the extent to which his theory depends on these models is not widely enough appreciated. Clark also describes the generative power which Schenker ascribes to the number 5, what he calls his 'mysterious five' [*geheimnisvolle Fünfszahl*] in organising different aspects of tonality. She points out that Schenker 'comes into [the history of natural underpinnings for music theory] more or less at its conclusion; but nevertheless he makes an important break with tradition.'⁴⁷ Schenker's break is to see raw nature as constrained by artistic demands and organised by the number five which produces most significantly the correct amount of overtones of the harmonic series involved in generating the *Naturklang* and the number of perfect fifths from the tonic required to produce a virtually complete major scale. In the latter case the missing fourth degree is produced through human artistry, rendering the subdominant and the ♯ of his *Ursatz* less strong.

⁴⁴ In particular he examines definitions of structure, design and other roughly synonymous terms from Felix Salzer, Allen Cadwallader and William Rothstein. Ibid. 2-3.

⁴⁵ Clark (1997), 84-85.

⁴⁶ Cohn, R., 'Introduction to Neo-Riemannian Theory: A Survey and a Historical Perspective', *Journal of Music Theory* 42/2 (1998), 167-180.

⁴⁷ Clark, S., 'Schenker's Mysterious Five', *19th-Century Music* 23/1 (1999), 84-102; 85-6.

Given the dubious theoretical underpinnings of Schenkerian theory, it seems desirable to rethink our understanding of structural and non-structural key areas if theory is to provide us with a descriptive tool for understanding tonality in Schubert, rather than a dogmatic strait-jacket for minimising its significance. Thus Clark effects a methodological turn from nature to logic, investigating other ways in which Schubert's music coheres. In particular she notes the composer's tendency to organise his movements symmetrically by tonal regions which flank the tonic at intervals of a fifth and a third. The first movements of the 'Unfinished' symphony D.759 and the String Quintet D.956 provide particular food for thought. Clark finds the latter work especially interesting for the way in which it pairs and opposes dominant and subdominant, mediant and submediant, and major and minor.⁴⁸ The major and minor implications arise from the opening progression of the movement in which the E_b (which Beach found so significant) inflects the tonic major triad as part of a diminished seventh chord. Clark's observations about the Trout Quintet are also worthy of mention. While Beach goes to great lengths to understand the first movement of this work according to a Schenkerian paradigm (offering up the two alternative readings cited above), Clark observes that the dynamic of this sonata form is fundamentally different from normal, the opposition being between V and IV not V and I. Within this framework the tonic is not part of the tonal drama in a conventional sense but, as she puts it, 'is not so much transformed as viewed throughout the structure from many perspectives.'⁴⁹ This of course resonates strongly with Rosen's assertion that the classical style is premised on an opposition between tonic and dominant; that even when Beethoven uses substitute dominants he does so in such a way as to create a large-scale dissonance which prevails across the whole movement; and that for the Romantics (and for Schubert) this polarisation is dissolved.⁵⁰ More interestingly, Clark's comment on the nature of the tonic resonates strongly with Adorno's central point that themes do not develop, but rather are viewed from different perspectives. I also believe it resonates with my own observations concerning the role of perspective in the Quintet in C and, more significantly for this case, the change in the way in which the home key is approached in the B flat sonata.

⁴⁸ Clark (1997), 194.

⁴⁹ Ibid. 170.

⁵⁰ See esp. Rosen (1988), 365ff.

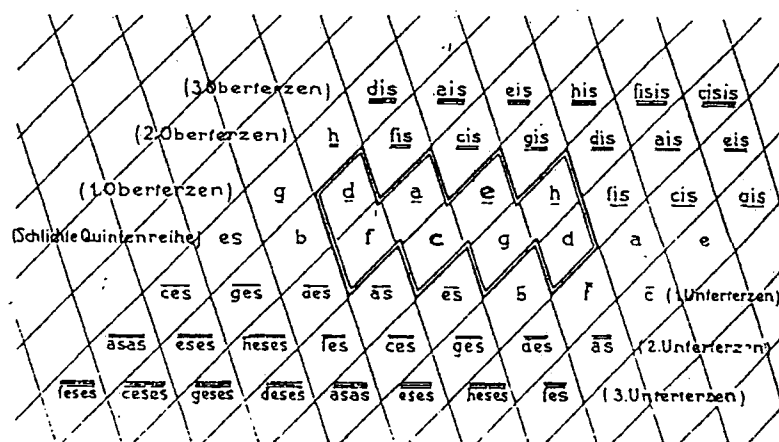
Rosen rightly points out that in Beethoven's lifetime the subdominant lost its antithetical function of opposition to the dominant and became only another closely related key.⁵¹ In view of this fact it may seem methodologically dubious to define key-areas in terms of their diatonic relationship to a tonic which, as Rosen observes, also loses its organising force.⁵² Schubert's oeuvre furnishes us with clear cases of music in which it is counterintuitive to explain progressions in terms of diatonic functions. Richard Cohn cites the example of a progression of major triads rooted in a descending progression of major thirds, a characteristically Schubertian figure.⁵³ A Roman numeric analysis of this progression fails to do justice to the way in which the roots trisect the octave (expressing the same interval as either major third, or diminished fourth) and badly explains the motion through the enharmonic shift that such a progression necessarily creates. It is these sorts of problems that have led recent theorists to turn to Riemannian harmonic theory, adapting it to new ends. Drawing on Riemann's table of tonal relations (Example 2.2.7), Neo-Riemannian theory dispenses with its dualist foundations, assumes enharmonic equivalence and equal temperament (as Brian Hyer notes, Riemann was committed to just intonation⁵⁴) and, most importantly for our current purposes, abstracts transformations of triads from any grounding in a tonal centre. Rather than refer to progressions in diatonic terms, Neo-Riemannian theory stresses the types of triadic transformation involved. Hyer cites four basic types: the dominant, parallel, relative and *leittonwechsel* (altered leading note) designated D, P, R and L respectively. Movement through harmonic space may be expressed both in terms of these four transformations and of combinations of different ones.

⁵¹ Ibid. 354.

⁵² Rosen writes 'Sonata style insisted on a sharp focus on the tonic. The Romantics saw the tremendous advantages offered by a fuzzier system. It had become possible to integrate music in a general tonal area, rather than in a clearly defined and specific tonality. The *Kreisleriana*, the *Davidsbündlertänze* and the *Dichterliebe* of Schumann, as well as the Second Ballade of Chopin (in F major/A minor), each create a tonal unity although a central tonality is not focused.' Ibid. 368.

⁵³ Cohn, R., 'Maximally Smooth Cycles, Hexatonic Systems, and Analysis of Late-Romantic Triadic Progressions', *Music Analysis* 15/1 (1996), 9-40; 9-11.

⁵⁴ In support of this commitment, Riemann cites the example of Wagner: 'Wagner has his reasons for sometimes descending into $\flat\flat$'s or ascending into $\sharp\sharp$'s. He also knows that the greater part of his audience can follow him down below and over above these tortuous paths.' cit. Hyer 'Reimag(in)ing Riemann', *Journal of Music Theory* 39/1 (1995), 101-38; 106.



Example 2.2.7

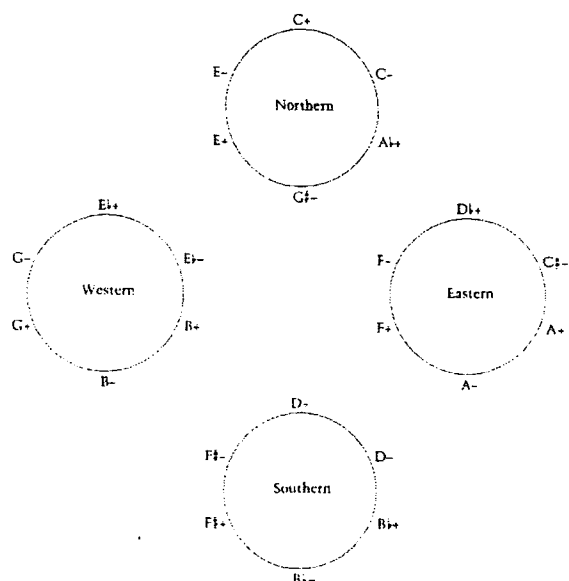
Of particular importance for Schubert are parallel and leading note progressions. Richard Cohn has demonstrated how P and L combine to produce triadic movement through what he calls ‘hexatonic systems’.⁵⁵ These are so called because they contain a collection of six pitch-classes from which may be produced six triads, a major and a minor version based on three keys whose roots are separated by major thirds. While Neo-Riemannian theory does not generally seek to explain why it is that triads are so important for the late nineteenth century, Cohn explains that this is due both to the ‘natural’ acoustic properties of the major triad and to their voice-leading potential. Between the six triads possible within one hexatonic system it is possible to alter one pitch class by a semitone to effect either a parallel or a leading note transformation, that is to move either to the parallel triad (from major to minor or vice versa) or to one a major third away and in the opposite mode (e.g. from A_b major to C minor).⁵⁶ Thus it is possible to traverse the complete cycle of triads contained within a system with maximal smoothness, each transformation resulting only from the semitonal shift of one pitch class.

The twelve possible pitch classes allow four possible hexatonic systems of six pitch classes, each one of them sharing three notes with a parallel one. This ‘hyper-hexatonic’ arrangement allows for motion between the four systems and is illustrated graphically as a series of cycles which Cohn labels with the names of compass points (Example 2.2.8). In a later article Cohn suggests that it is also possible for these systems to carry diatonic implications. Thus, for example, a key which lies within the same system as the tonic might be understood to lie within the tonic sphere. So in the

⁵⁵ Cohn (1996).

⁵⁶ Ibid. 13.

case of the B_b sonata (discussed by Cohn) the key of F# minor in the exposition can be understood both as distant from the home key as its polar opposite within one hexatonic system, and as proximate to home by virtue of its place within the tonic



Example 2.2.8

sphere.⁵⁷ Similarly, the keys of D and B_b major which appear in continual alternation at the retransition, the moment which Marston understands as rendering the tonic *unheimlich* as \flat VI/III, can also be understood as both belonging to the tonic cycle thus articulating the return home. As well as showing how this expanded sense of tonality supports an underlying opposition of tonic and dominant which can be felt to prevail across this work – note the conventional close on

the dominant at the end of the exposition and the conventional modulation down a fifth to enable the final tonic close – Cohn also reveals symmetries within this movement through describing it ‘hyper-hexatonically’.

There are clear analytical advantages to viewing Schubert’s music in Neo-Riemannian terms. Firstly, such a view accounts for the sense of smoothness felt in Schubert’s characteristic modulations, evoked by terms such as ‘melting’,⁵⁸ ‘heart-melting’,⁵⁹ ‘sliding’ etc, better than a description by root relation. Secondly, by refusing to label triads by the scale degree of their root, this theory refuses to ascribe to any given chord a diatonic function in relation to the home key (which is not to say that it doesn’t have one). As we have seen, such labelling also badly expresses the symmetry involved in trisecting an octave and the enharmonic shift which such a

⁵⁷ By contrast, Dieter Schnebel notes only its distance ‘As if in a sudden flash the sound turns suddenly far away: upwards and into the F# minor, an exotic key within B_b.’ [‘Wie in einer schlagartigen Blende rückt der Klang plötzlich weit ab: nach oben und in das für die B-Tonalität exotische fis-moll.’] note that Schnebel too describes the event not as ‘Modulation’ but as ‘Rückung’ betraying an Adornian influence which is visible later in the text. (1980), 114.

⁵⁸ See Rosen’s description of the move back from E^b to C in D.956 (technically a combination of transformations R and P). Rosen (1988), 258.

⁵⁹ Webster on the turn to the tonic major in the A minor quartet. Webster (1978), 21.

motion necessitates. Thirdly, it can offer other ways in which to measure the relative proximity of key areas than their relative distance along a circle of fifths.

As well as furnishing us with an analytical tool, Neo-Riemannian theory provides us with further aspects to our interpretative strategy. One of the qualities which Hyer notes in the cases of three types of transformation is that they are their own inverses and often function without the intervention of a dominant.⁶⁰ That is to say that transformations P, L and R if used twice successively will lead back to the same point. This demonstrates one of the ways in which Schubert destroys a sense of temporal flow and motion towards a goal. If we consider two triads either side of an L transformation, neither is necessarily prior in the way that a V⁷ is felt to resolve to a I.⁶¹ This is reminiscent of the claim which Adorno makes for Schubert's music that, unlike in that of Beethoven, any given moment in Schubert is not felt to necessitate the next.⁶² The other important thread to Hyer's observation is that there is no need for a dominant preparation for any of these harmonic shifts. Expression of modulations in terms of triadic transformations captures completely the nature of Adorno's *Rückungen*. Adorno is fascinated by the ability of a small step to create the sense of rescue from sadness to consolation.⁶³ This idea is uncannily reminiscent of Schubert's own comment in *Mein Traum*: 'Whenever I attempted to sing of love, it turned to pain. And again, when I tried to sing of pain, it turned to love. Thus were love and pain divided in me.'⁶⁴

Adorno was also fascinated by the ability of a chromatically altered chord to resolve to both a major and a minor key. There are, as I have suggested, other examples in Schubert of events in the music which point in different directions. Cohn cites the F# minor passage of the B_b sonata exposition. Hexatonically, it points to the

⁶⁰ Hyer (1995), 109. Expressed in Riemann's own terminology, P R and L transformations all belong to a group of transformations known as *Wechseln* (Quintwechsel, Terzwechsel and Leittonwechsel respectively) which involve both a *Schritt* or step of a given magnitude and a shift to a tone's dual triad e.g. C⁺ to C⁻. When the process is inverted the direction of the *Schritt* is reversed because of the divergent directions in which Riemann demands the major and its dual minor to be heard. See Klumpenhouwer, H., 'Dualist Tonal Space and Transformation in Nineteenth-Century Musical Thought', in Christensen (ed.) *The Cambridge History of Western Music Theory* (Cambridge 2002), 456-476; esp. 470-471.

⁶¹ Although the case of the A major sonata D.959 development is harmonically more complex, the alternation between C and B could be considered to be a parallel case. As noted previously Rosen observes that this alternation creates a sense of stasis which is antithetical to the nature of a development section. Rosen (1988), 360.

⁶² Adorno (1988), 22.

⁶³ Ibid. 31.

⁶⁴ Deutsch (1946), 227.

tonic cycle, that is to say back towards home. Melodically, however, this section outlines a major third from A to C# which places it in the realm of a dominant cycle (F-A-C#).⁶⁵ This contrasts strongly with the opening which establishes the home key and moves between B_b and G_b majors (within the tonic cycle) and melodically outlines the augmented triad on which the tonic hexatonic cycle is based. Within the structure of the sonata, this F# section can be understood to have a double meaning and a pivotal function.

This brings us onto perhaps the most significant link between Adorno and Neo-Riemannian theory, the link between music and space. We have already explored at length the ways in which Adorno expresses the spatial quality of Schubert's music. He describes it as a landscape, the circumnavigation of which takes in many points; he describes it as something on which perspective changes implying that it is something visual – something to be gazed at; he describes it as crystalline (grown rather than growing, implying an equality of parts, perhaps a lattice-like structure) and he carefully writes out the role of a free-flowing sense of temporality.

That music theory consistently spatialises the object of its study, or expresses in visual metaphors what is audible, should come as no surprise. The visual element of German dualism from its inception is commonly observed and occasionally used as a stick to beat it with. In particular the ascending and descending directions of the major and minor triads invoke one such spatial description which readily arouses suspicion. Daniel Harrison, for example, observes certain architectural metaphors which underlie Moritz Hauptmann's own early brand of dualism.⁶⁶ Suzannah Clark discusses the extent to which notational (i.e. visually apparent) symmetries in the work of Oettingen were not merely illustrative but formative for various aspects of his own theory, including the structure of cadences and the formation of scales.⁶⁷ Henry Klumpenhouwer makes a similar point about Riemann's 'topographic' models of

⁶⁵ Cohn (1999), 224.

⁶⁶ Harrison, D., *Harmonic Function in Chromatic Music* (Chicago, 1994), 227.

⁶⁷ Clark, S., 'Seduced by Notation: Oettingen's topography of the major-minor system', in Clark & Rehding (eds.), *Music Theory and Natural Order from the Renaissance to the early Twentieth Century* (Cambridge, 2001), 161-180. Harrison (1994) also observes this visual dimension, although he is markedly less positive about Oettingen's achievement, describing the centering of symmetrical 'tonic' and 'phonic' scales around a visually central D as 'a rhapsodic flourish of inanity.' The negative reception of Oettingen stems in part from the observation that the mirror image of the major scale about its tonic appears not to be the minor as Oettingen suggests, but the phrygian. While Clark rescues Oettingen's phonic scale from its traditional phrygian interpretation, it is still difficult to escape the feeling that theory has turned its back on practice and nosedived into abstraction.

tonality which map out tonal space in terms of *Schritte* (steps) and *Wechseln* (exchanges) from which the triadic transformations of more recent theorists are derived. He writes that they ‘are not simply visual presentations of aspects or features of structure Rather [they] are most fruitfully regarded as representational maps of *tonality imagined spatially*. . . .’⁶⁸ Brian Hyer also points out this aspect to Riemann’s thought, observing that the term ‘*Tonvorstellungen*’⁶⁹ combines connotations of both representation and imagination of tone. Together with the frequent use of ‘*Phantasie*’ or ‘*Tonphantasie*’ (from *phantazein*, to render visible) the original German text clearly makes explicit appeal to theories of vision.⁷⁰ In this context it becomes particularly significant that Riemann’s table of tonal relations forms a lattice-like structure which resonates strongly both with Adorno’s description of Schubert’s music as crystalline and with the idea that all points on Schubert’s musical landscape are interconnected.

While these characterisations of Schubert’s music as space are consistent, we are left with uncomfortable questions which bring these theoretical musings down to earth with a loud thud. Given that music and, more to the point, musical performance takes place in time, is it not counterintuitive to talk about seeing music or *imag(e)ining* music? Or, posed more positively: is there any way in which discussion of music through the use of spatial metaphors can be construed as cognitively real? A recent article by Candace Brower furnishes us with a possible response to this question.⁷¹ Her argument hinges on ideas drawn from cognitive science and, in particular, from current metaphor theory. One of the central ideas is Howard Margolis’ assertion that thinking consists in part of matching patterns of thought to patterns of experience. For Mark Johnson, our immediate bodily experience is a primary source for these patterns, a source from which we extrapolate in order to make sense of other domains, art included. Johnson terms basic level patterns of bodily experience *image schemas*; Brower’s achievement is to take these schemas and show how they can map onto our experience of tonal music. The image schemas which she understands to be relevant to music include ‘CONTAINER, CYCLE,

⁶⁸ Klumpenhouwer (2002), 467. (Italics mine)

⁶⁹ This is taken from the title of Riemann’s treatise ‘Ideen zu einer “Lehre von Tonvorstellungen”’.

⁷⁰ Hyer (1995), 102-03.

⁷¹ Brower, C., ‘A Cognitive Theory of Musical Meaning’, *Journal of Music Theory* 44/2 (2000), 323-379.

VERTICALITY, BALANCE, CENTER-PERIPHERY, and SOURCE-PATH-GOAL. . .⁷² Our sense of bodily verticality and balance, for example, is projected by Brower onto our experience of the major scale as exerting a gravitational pull towards its base (tonic), countered by an inertial pull towards the top (via the leading note). The metaphors we use to describe our experience of a scale come laden with our bodily experience of gravitational pull towards our base and an inertial resistance which allows us to stand upright. Similarly the body experiences time as measured off into cycles and we find ourselves compelled to understand music in similar ways. Schenker's observation about the naturalness of duple and quadratic phrase construction is a good case in point. He writes: 'Since the principle of systole and diastole is inherent in our very being, metric ordering based on two and its multiples is the most natural to us.'⁷³

One of the most significant image schemas for Brower is that of the container. There are various ways in which Brower asserts that music may evoke containment. Melodically the filling out and expansion of an initial interval, a technique which as we have seen Rosen identifies as characteristic for Schubert's lieder, is one example of a filling and expanding container schema. I would suggest that phrase structure may also be construed in this way, with a prototypical phrase constituting a stable container which is subject to expansions and interpolations, an idea which will be pursued in the following section. Indeed William Rothstein begins his discussion of phrase rhythm with definitions of phrase by Roger Sessions and Peter Westergaard, the former defining it as 'the portion of music that must be performed, so to speak . . . in a single breath. . .', the latter describing a sense of completion which an entire phrase should evoke.⁷⁴ What is the prototypical phrase and its subsequent expansions if not another embodied image-schematic way of understanding musical syntax?

Things get interesting for Brower when she discusses triadic space. In particular she introduces schematic diagrams for triadic fifth space. These are subject to (at least) two image schemas (Example 2.2.9a and b, found at the end of this chapter). On the one hand we may hear a cyclical-container schema according to which fifth-space is heard as circular (b). More immediately, however, we may hear the tonic as central and exerting a gravitational pull (a). Brower likens this to our experience of the earth's surface whose curvature eludes us because of its large

⁷² Ibid. 326.

⁷³ Schenker, H., *Free Composition*, trans. and (ed.) Oster (New York, 1979), 119-120.

⁷⁴ Rothstein, W., *Phrase Rhythm in Tonal Music* (New York, 1989), 3-4.

proportions. This metaphor is uncannily reminiscent of a statement made by Tovey who, in an article on Schubert, writes: 'Harmonic space is curved like the surface of the earth, and [the] tritone is its date-line.'⁷⁵ To extend Brower's and Tovey's thoughts, we may be even more inclined to hear triadic third-space as curved and cyclical. In the first place the gravitational pull exerted by successive dominants is negated by P and L (*Wechsel*) transformations which, as remarked earlier, are their own inverses and have less need to resolve in a particular direction or towards a particular centre (as for example V→I). In the second place, the cyclical nature of third-related keys is much more apparent. In set-theoretical terms, Cohn asserts that it is because of the relatively unique property of 3-11 (the prime expression of the major/minor triad in closed form) to move through something which is long enough to be considered as a cycle and yet does not exhaust all possible versions of this set.⁷⁶ In image-schematic terms, the circle created is smaller and much more immediate; because we may traverse it rapidly we may more readily 'see' the cyclical curvature. This can be seen through adapting Brower's fifth-based schemas to map third space, the outer and inner layers of which are constructed not of fifth cycles but of major third cycles (that is to say augmented triads) (Example 2.2.10).

We have now gone some way towards explaining how Adorno's characterisation of Schubert's music as spatial is both graphically representable and in some way construable as cognitively real. However to focus purely on this spatialised view of the music is to throw the baby out with the bathwater. Although Schubertian form conceived harmonically may map out a musical space, there must still be linear pathways through this space. Furthermore, within these pathways there may still be a strong feeling of linear continuity. David Beach, for example, maintains that there is a strong linear continuity in many of Schubert's works, the descending tetrachordal progression of the *Quartettsatz* being a good case in point.⁷⁷ James Webster also writes that Schubert's development sections are often organised as gigantic sequences, citing in particular the E flat piano trio and the G major quartet.⁷⁸ We now turn to the latter work as an example of a movement in which a strong directed linear motion and a spatial freedom may be heard to coexist.

⁷⁵ Tovey (1928), 358.

⁷⁶ Cohn (1996).

⁷⁷ See esp Beach (1994).

⁷⁸ Webster (1978), 31.

One of the most strongly articulated sections of a Schubertian sonata form according to Webster is the retransition. Indeed, Webster links this to the composer's apparent reluctance to quit the tonic in the first place: '[Schubert] was always most comfortable returning home'.⁷⁹ In this respect the closing section of the quartet's development is exemplary. It begins with an ascending sequence whose purpose is to unfold the seventh of the dominant in order to destabilise it and prepare for the tonic return of the recapitulation. This takes place across bars 252 to 263. The dominant seventh is then prolonged across bars 264 to 267 by means of an outer voice exchange following which the climactic A is arpeggiated to. It would be difficult to demand a stronger, more conventional preparation for the tonic return and this $\hat{2}/V^7$ may lead us to doubt David Beach's assertion that the structure of this movement does not articulate an interruption.⁸⁰

An analysis of the rest of the development also shows a strong sense of linear progression due to an initial underlying linear intervallic pattern which ascends to prolong an A. At this point the pattern begins again but resolves not to the next expected key F# but to B \flat and thence to D, the beginning of the retransition (Example 2.2.11):

The image shows a musical score for two staves, treble and bass clef, with a key signature of one sharp (F#). The treble staff has a melodic line with a long slur over it. The bass staff has a corresponding line. Below the staves, there are two rows of numbers representing intervals. The first row of numbers is: 7, 10, 7, 10, 7, 10. The second row of numbers is: 7, 5, 7, 5, 7, 5. Bar numbers are indicated below the first staff: b. 168, 180, 201, 218, 226, 242, 250. The notation includes various accidentals (sharps, flats) and slurs.

Example 2.2.11

Despite the strong purposeful drive suggested by this graph, the sense of the music is difficult to understand in a conventional voice-leading sense. Harmonically, however, the whole-tone scale which begins the section (Example 2.2.12) and threads its way through the whole development suggests that we adopt a different method.⁸¹ The

⁷⁹ Ibid. 31.

⁸⁰ Beach (1993).

⁸¹ Dahlhaus observes that this scale emerges from its chromatic counterpart which forms the *Passus duriusculus* around which much of the movement is based. While the harmonisation of this baroque lament figure formed the diatonic backbone of much of the exposition, Dahlhaus remarks that its

connection between the whole tone scale and the augmented triad has been frequently observed in Schubert⁸² and considered hexatonically this section appears to make a new kind of sense. The movement as a whole is characterised by many enharmonic shifts which are visually foregrounded by notational anomalies (Example 2.2.13) such as the B_b within the context of F# major (b.244) carried over as the common tone from the previous B_b triad and renotedated as A# two bars later (246).



Example 2.2.12

Example 2.2.13

Before we look at the development as a whole, we must first examine the linear intervallic pattern which underlies it. The roots of each stage are linked by the common interval of a major third. Thus to prepare the dominant seventh of the following stage we modulate down a major third and add a seventh. In this way the first stage entails a move from D major to B_b major before adding a seventh, resolving to E_b major and beginning again. Expressed hexatonically, the move from D to B_b involves a shift of two 'notches' round one of Cohn's cycles: D to d and d to B_b (P, L). This move lies within the dominant cycle of the piece. If we were to repeat this process four times we would progress through the four hexatonic cycles: E_b – B (Tonic), E – C (Subdominant), F – C# (Supertonic) and C#⁷ resolving to F# – D (dominant).

This possible progression may be understood as a prototype for the development section (Example 2.2.14). What actually occurs deviates from this prototype in several notable ways. Firstly each shift down a third encloses further

whole-tone counterpart may no longer be justified by appeal to a traditional harmonic model; interestingly, however, he does not suggest an alternative framework. (1986), 11.

⁸² See esp. Taruskin (1985), 84-86. Taruskin cites instances from the E_b mass and the Octet D.803.

(functionally redundant?) movement within the given hexatonic cycle. The first (bb. 170b-176) contains movement from D to B_b to F[#] and back to B_b. The second (bb.189-197) contains movement from E_b to G, back to E_b and thence to B. At the third major third, E to C, we do not get a full cycle, our second deviation. Structurally, this could be seen to arise from the necessity to keep the development dominant-heavy. In the third deviation from the prototype the following supertonic cycle moves through all major keys but resolves a third *higher* on A and stays there. At this point we might have expected F - C[#] - C^{#7} - F[#]. Continuing as before we would end up again in the home key. In failing to do so, Schubert delays the force of this expected return. The final move is from A via F⁷ to B_b and thence hexatonically back to D.

The musical notation for Example 2.2.14 consists of two staves, treble and bass, with a key signature of one sharp (F#). The notation is divided into five measures by vertical lines. Above each measure is a label: 'Dominant', 'Tonic', 'subdominant', 'supertonic', and 'dominant'. Below each measure, the numbers '8' and '7' are written, indicating the scale degrees of the hexatonic cycle. The notes are as follows:

Measure	Label	Notes (Treble)	Notes (Bass)
1	Dominant	D4, E4, F#4	D3, E3, F#3
2	Tonic	D4, E4, F#4	D3, E3, F#3
3	subdominant	G4, A4, B4	G3, A3, B3
4	supertonic	A4, B4, C#5	A3, B3, C#4
5	dominant	D5, E5, F#5	D4, E4, F#4

Example 2.2.14

All of this description is of course better conveyed graphically (Example 2.2.15; printed at end of chapter). In certain cases Schenkerian notation is adapted. Within the spaces created by hexatonic cycles, marked in the graph by boxes, there is no bass line for obvious reasons. Following Cohn's own practice, common tones are indicated by open noteheads to denote no change from the previous chord even in the case of enharmonic shifts in which notes are considered to be equivalent. The information which this graph gives us allows us to draw several conclusions about how this development section works. Prevailing across the section as a whole there is a strong linear sense which prolongs $\hat{2}/V$ and then unfolds the seventh; that is to say, it behaves as we might expect a development section to. The absence of a full subdominant cycle (the only one to be omitted) allows the development to remain

'dominant heavy', a fact that can only be demonstrated through the appeal to a 'hexatonic analysis'. At a middleground level the bass arpeggiates a D minor triad which, together with the generally major orientation of the section, continues the sense of modal mixture which characterises the movement from the outset. Embedded within this linear motion there are spatial hexatonic sections which move freely in both directions round each cycle touching (as Adorno might put it) every point on Schubert's musical landscape. The combined sense of linear progression and embedded harmonic spaces is achieved not with the mechanical rigidity that our prototype for this development would have allowed but with the fluidity and compositional assuredness which marks the composer's late style and fully justifies Schubert's heavenly lengths.

The Riemannian aspect to the analysis of this section foregrounds the spatial and the metaphorically visual aspects to the music; to hear certain periods of this development is to see pockets of space, star clusters, etc. And yet the visual aspect of music is just as important in the notation itself. The closing Toveyan 'purple patch' of the A_b Moment Musical (D.780/6) is a case in point. As Edward Cone notes, Schubert notates this section with a local key signature of E major and yet immediately naturalises all of the D#'s implying that the section is actually on the neapolitan.⁸³ By beginning the phrase on V₂⁴/A, this naturalised seventh in the bass line, this interpretation is further strengthened. Given the importance of E, both as a note and as a key area, it is clearly important for Schubert that this eight-bar section be heard as potentially implying IV/E despite the implication to the contrary. If it is potentially difficult for a performer to convey this kind of subtlety, then the act of viewing the score restores another visual dimension to this piece which would otherwise be lost.⁸⁴ This final example reminds us of two things. Firstly, this is another example of perspective; this neapolitan purple patch is written in such a way as to make it heard *as* related to E major. Secondly, the manner in which it is written reminds us of one of the primary tenets of Romantic thought; as expressed by Novalis 'the true reader must be an expanded author'.⁸⁵ Schubert's scoring of this moment is notated in such a way as to draw the reader into the creative/interpretative process.

⁸³ Cone (1986).

⁸⁴ The autograph of this piece, which would doubtless settle many questions regarding Schubert's notational intentions, it is sadly lost.

⁸⁵ Wheeler, K., *German Aesthetic and Literary Criticism: The Romantic Ironists and Goethe* (Cambridge, 1984), 12.



Example 2.2.16

I began this section by reiterating those aspects of Adorno’s critique of Schubert which pertained to form. Schubert is about perspective, deliberate ambiguity of function and the impression of space. Subsequently I have demonstrated some possible meanings of these terms. A change of perspective can be a result of the latent variation qualities attributed to Schubert by Dahlhaus. It can also arise through a change of scoring (as in the opening of the ‘Trout’) which in turn may encode a poetic idea (the Romantic turn inwards of *An den Mond*) or represent the impossibility of a literal return home (as in the slow movements of D.959 and 960). The new perspective may be a harmonic one which allows the same material to fulfil different functions (as in the String Quintet) or it may result from a variety of other features (figuration, inversion of voices, poetic meaning as in the opening of the B flat sonata). The additional four bars of the recapitulation of D.960 arise not from functional necessity to recompose, but from an artistic need to change the meaning of (or perspective on) home. The interaction between diatonic and hexatonic functionality also permits certain ambiguities of meaning. Our investigation of neo-Riemannian triadic transformations shows analytical advantages and also reflects Adorno’s description of Schubert’s music as spatial, both through the destruction of temporal progression that P and L transformations engender and through their graphic representation viewed by dualists and supported by Brower as cognitively real. Finally, my analysis of the development section of the G major quartet shows how free movement through harmonic space may coexist with an underlying sense of linear progression.

Example 2.2.4

Violin I

Violin II

Viola

Violoncello

Violoncello

61

Vln. I

Vln. II

Vla.

Vc.

Vc.

65

Vln. I

Vln. II

Vla.

Vc.

Vc.

69

Vln. I

Vln. II

Vla.

Vc.

Vc.

The image displays a musical score for a string quartet, specifically measures 57 through 69. The score is arranged in four systems, each containing staves for Violin I, Violin II, Viola, and Violoncello. The notation includes various musical symbols such as notes, rests, and dynamic markings. The dynamics range from *f* (forte) to *pp* (pianissimo), with intermediate markings like *fz* (forzando) and *fp* (forzando piano). There are also markings for *decresc.* (decrescendo) and *pizz.* (pizzicato). The key signature is one flat (B-flat major or D minor). The time signature is not explicitly shown but appears to be 4/4 based on the note values. The score is written in a standard musical notation style with a clear layout and legible handwriting.

73

Vln. I *pp* *decresc.*

Vln. II *pp* *decresc.*

Vla. *pp* *decresc.*

Vc. *pp* *decresc.*

Vc. *pp* *decresc.*

77

Vln. I *fp* *fp* *decresc.* *pp*

Vln. II *fp* *fp* *pp* *arco*

Vla. *fp* *pp* *pp* *pp*

Vc. *fp* *pp* *pp* *pp*

Vc. *fp* *pp* *pp* *pp*

82

Vln. I

Vln. II

Vla. 3

Vc. 3

Vc. 3

86

Vln. I

Vln. II

Vla. 3

Vc. 3

Vc. 3

90

Vln. I *decresc.*

Vln. II

Vla. *decresc.* *simile.* 3

Vc. *decresc.* 3 *simile.* 3

Vc. *decresc.*

94

Vln. I *decresc.*

Vln. II *decresc.*

Vla. 3 *decresc.* 3

Vc. 3 *decresc.* 3

Vc. *decresc.*

98

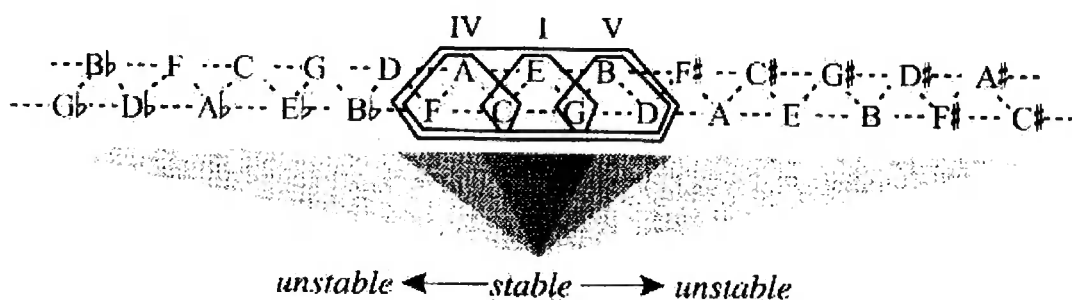
Vln. I *fp* *p*

Vln. II *fp* *pp*

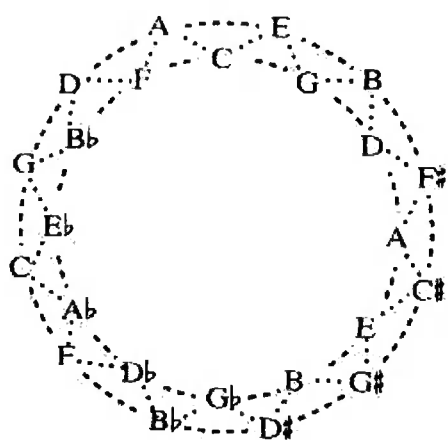
Vla. 3 *pp*

Vc. *fp* *pp*

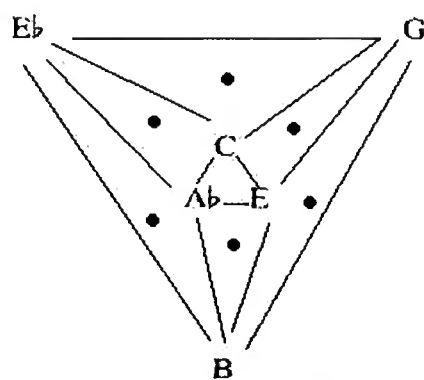
Vc. *fp* *pp*



Example 2.2.9a Image Schema for Fifth space in terms of tonic pull



Example 2.2.9b Image Schema for Fifth Space as Cycle



Example 2.2.10: Image schema for Triadic third space

Dominant Cycle	Tonic Cycle	subdominant cycle	Supertonic cycle
<p>170b - 176</p>	<p>189 - 197</p>	<p>210</p>	<p>219 - 224</p>

Example 2.2.15

Example 2.2.15

2.3 Schubert and Rhythm

The closing paragraph of Adorno's Schubert essay identifies what might be described as the utopian quality inherent in the composer's music.

In irregular strokes similar to those of a seismograph, Schubert's music has carried the message of man's qualitative change. It is answered rightly with weeping Before Schubert's music tears flow from our eyes without first consulting the soul: it moves us in an unfigurative and real way. We cry without knowing why; because we have not yet become what that music promises, and in the indescribable joy that exists only to assure us that we will ultimately become like it. We cannot read them, but our blurring overflowing eyes hold before them the ciphers of ultimate redemption.¹

At certain points in his essay Adorno links this utopian character more explicitly with aspects of the music's temporal structure. 'When in the landscape of death the themes stand timelessly beside each other, the music of recovered time is filled consolingly with anticipation of the constancy of the eternal, far from the fatal end.'² Suzanne Kogler has observed that Adorno's statements on the utopian aspects of Schubert generally pertain to temporality. She writes: 'Music as created time makes repetition possible. This is exactly where its utopian character may be found. Music objects to the transitoriness of human existence.'³ In particular Kogler also observes certain parallels between Adorno's critique and the observations of the composer Dieter Schnebel on temporality and Schubert. Schnebel also identifies this utopian quality in Schubert; in particular he remarks that those passages in which time flows most naturally (he describes them after Schumann as his heavenly lengths) make us forget

¹ 'In unregelmäßigen Zügen, einem Seismographen gleich, hat Schuberts Musik die Botschaft von der qualitativen Veränderung des Menschen notiert. Ihr antwortet zurecht das Weinen Vor Schuberts Musik stürzt die Träne aus dem Auge, ohne erst die Seele zu befragen: so unbildlich und real fällt sie in uns ein. Wir weinen, ohne zu wissen warum; weil wir so noch nicht sind, wie jene Musik es verspricht, und im unbenannten Glück, daß sie nur so zu sein braucht, dessen uns zu versichern, daß wir einmal so sein werden. Wir können sie nicht lesen; aber dem schwindenden, überfluteten Auge hält sie vor die Chiffren der endlichen Versöhnung.' Adorno (1982), 33.

² 'Wenn in der Landschaft des Todes zeitlos die Themen beieinander stehen, so erfüllt tröstend Musik die wiedergefundene Zeit fern vom tödlichen Ende mit der vorweggenommenen Beständigkeit des Ewigen' Ibid. 32.

³ Kogler, S., 'Timelessness and Released Time – Franz Schubert and Composition Today', in Newbould (ed.), *Schubert the Progressive* (Aldershot, 2002), 89-100; 90. I am grateful to Dr Kogler for sending me a copy of this paper.

time's transitoriness.⁴ This is, however, a feature commonly attributed to music generally. Levi-Strauss writes that 'Music transmutes the segment [of time] devoted to listening to it into a synchronic totality, enclosed within itself . . . the act of listening to it immobilises passing time.'⁵ Wilhelm Seidl, who writes in remarkably similar terms to Adorno, Kogler and Schnebel, tells us:

Music, while it is going on, leads to a forgetting of time It makes timelessness actual. It gives the human beings who play and hear it the illusion of an escape from time and transitoriness. Therein perhaps arises that happiness which music brings: it is a foretaste of eternal joy.⁶

And if this intuition is not necessarily applicable to music in general, Raymond Monelle argues that it is certainly the condition of much nineteenth-century music, for here lyric time overcomes its progressive counterpart, epitomised for him by A.B. Marx's *Gang*; it arrests the flow of real time and transports the listener into his own Romantic utopia.⁷

Discussions of rhythm and temporality are complicated both by the consistent failure to agree on the meanings of basic terms such as rhythm, metre, stress and accent and by the varying degrees to which each of these terms dominates in music theory.⁸ The interpretative waters are further muddled by the very general nature of many philosophical reflections on temporality which renders statements such as those on the utopian character of created time by Adorno, Schnebel and others dangerously close to sounding empty and meaningless. Schnebel does, however, go into more detail concerning the many different ways in which Schubert shapes time, or 'signified time' as Monelle would more correctly express it.⁹ Schnebel explains that 'Schubert's procedures of time-structuring make possible the forms of highly different time-phenomena.'¹⁰ Sometimes a sense of stand-still is evoked, perhaps mirroring the

⁴ Schnebel, D., 'Schubert: Auf der Such nach befreiten Zeit', in *Denkbare Musik* (Köln, 1972), 121.

⁵ cit. Monelle, R., *Linguistics and Semiotics in Music* (Chur, 1992), 251.

⁶ Seidl cit. Hasty, C., *Meter as Rhythm* (Oxford, 1997), 25.

⁷ Monelle, R., *The Sense of Music* (Princeton, 2000), 114.

⁸ See Hasty (1997), Chapters 1-4.

⁹ Monelle (2000), 83.

¹⁰ 'Schuberts Verfahren der Zeitstrukturierung ermöglicht die Gestaltung höchst unterschiedlicher Zeitphänomene' Schnebel (1972), 118.

meaning of a poetic text which the music sets. An example for Schnebel is the depraved 'eternal return of the same' in 'Der Leiermann' where continual repetition of the bare fifth in the left hand is mirrored by the tendency of voice and right hand to move repeatedly around combinations and permutations of the same group of notes.¹¹ The motionlessness which Schnebel attributes to 'Ihr Bild' is expressed differently as time circling around itself. Mirroring the neurotic dream-like standing and staring of the text, Schubert's setting expresses this motionlessness by means of rhythm, harmony and phrase structure. Rhythmically, the lied moves from single crotchet octaves, to a simple rhythm consisting mainly of crotchets, to double-dottings (phrase 1), to an easier dactylic motion (end of phrase 2). The middle two phrases are characterised by the greater rhythmic activity they exhibit, first agitated (by dottings and syncopations) and then overflowing into a freer quaver motion. The closing phrases mark a return to the reduced activity of the first two. Harmonically (and for Schnebel spatially) the middle phrases exhibit a fullness which is absent from the thin bare octaves of the beginning. This fullness reflects the corporeal warmth of the departed beloved in the singer's dream, a fullness which becomes ironic in intent when the major chorale texture conflicts with the exclamation 'I cannot believe that I have lost you'. In terms of phrase structure, the two-bar '*Vorspiele*' and '*Nachspiele*' constitute forward and backward glances which according to Schnebel make time appear circular and blurred, distorted like the dream which is the subject of the song.¹²

In contrast to those works in which time stands still or moves within tight circles, there are others in which time flows so freely and restlessly that any interruption or retardation becomes a reminder of the transitoriness which underlies it. Kogler points out certain retardations in Goethe's *Der Musensohn*, the subject of which is, appropriately, the objection of art and the artist to the inevitable progress of time. She is, however, vague both about the technical nature of these retardations and about their meaning with relation to the text.¹³ The opening of the song, marked 'Ziemlich Lebhaft', sets up a regular rhythm, periodicity and temporal flow. When Goethe's son of the muses comes into contact with images which make palpable the transitoriness of human life, rhythmic details retard the flow of time. The first of these points occurs at the line 'Die ersten Blüt am Baum', ['The first blossom on the

¹¹ Ibid. 118.

¹² Schnebel (1980), 116-118.

¹³ Kogler (2002), 93.

tree'] which, as the poem implies, will have disappeared by winter. Here the music experiences a two-fold retardation. Firstly, the rhythm becomes augmented with respect to the corresponding moment in the first stanza; secondly, the same phrase becomes expanded over the dominant, six bars to the previous four (Example 2.3.1). Upon encountering a young couple beneath a Linden tree – the Romantic image of lost time and nostalgia *par excellence* – the same pair of retardations occur again.¹⁴ A final objection to the flow of time occurs in the closing stanza at the marked *ritardando*, in which the singer asks when he himself will find rest.

Initial Version



Strophe 2 with augmented rhythm

die er - ste Blut am Baum

Strophe 2 augmented rhythm + expansion

sing ich- noch je - nen, Traum, sing ich- noch je - nen, je - nen Traum.

Example 2.3.1

Schnebel also cites occasions where time flows, but hindered and halted. This type of movement characterises much of Schubert's music ranging from his early

¹⁴ Perhaps the *locus classicus* of this symbol of nostalgia and lost youth is the episode in *Werther* where the narrator encounters two young children seated together beneath the Linden tree. Reclam edition (1999), 24-5.

period to the late piano sonatas. Discussing the first movement of the early E major sonata D 459¹⁵ he writes, 'Schubert's time-forming [*Zeitgestaltung*] is an articulation of the flow of time: time gets underway [*in Gang kommt*], pushes its way forward, begins to flow, hesitates, briefly halts and flows again, is held up, then freely pours forth, subsides, halts and circuitously finally finds an end.'¹⁶ In this respect late Schubert differs from the earlier period only insofar as the pauses and retardations are more deeply and explicitly expressed. The late B_♭ sonata is presented as an example of the ways in which the time structure of late Schubert becomes so articulated. While the opening chorale quavers give way to the alberti semiquavers and later triplet block chords (at the point when the home key returns), the flow is both retarded by the pause on the G_♭ trill, and pushed on by the same trill which returns, measured and shorn of its fermata, and flows into the new bass accompaniment. If the forward drive of the first movement is hindered by a pause, that of the final movement flows out of the many reiterations of the opening pause on the bare octave G. The ambivalence of this note is described by Schnebel. It is 'on the one hand protest against the flow of time and with it time itself; on the other a type of energy source out of which the other notes burst forth.'¹⁷

In the previous section of this thesis, we saw how Adorno consistently invokes the idea that Schubert's music moves between different spaces via unprepared *Rückungen*. Schnebel implicitly echoes Adorno's thoughts, discarding the notion of a sonata form movement as a weaving together of two or more musical thoughts articulated as first and second subject, transition section, closing material and so on, and regarding it instead as 'a quasi-endless sound-melody which consistently opens up into new spaces.'¹⁸ He expands on the implications for temporality as follows: 'Thus, Schubert's formation of flowing sounds leads to the construction of spaces which become imbued with time.'¹⁹ These new sections contain temporal progressions which often proceed in the manner of previous sections, but also in new ways. Herein for Schnebel lies the magic of subsidiary themes. Although Schnebel

¹⁵ Published in the *Alte Gesamtausgabe* as 'Fünf Klavierstücke'.

¹⁶ '... Schubert's *Zeitgestaltung* [ist] eine Artikulation des Zeitflusses: daß Zeit in Gang kommt, drängend ihren Weg sucht, zu fließen beginnt, zögert, kurz innehält und wieder fließt, ins Stocken gerät, dann frei dahinströmt, verebbt, anhält, vorangeht und auskurvend ein Einde findet.' Schnebel (1980), 113.

¹⁷ Schnebel (1972), 120.

¹⁸ Schnebel (1980), 114.

¹⁹ *Ibid.* 114.

uses the fragmentary piano sonata in F# minor (D.571) as the example of this phenomenon, the B flat sonata exposition again serves our purposes. The opening of the movement furnishes us with a parallel period,²⁰ 8 bars (with closing fermata) + 9 bars in length. Although the antecedent phrase closes with the interruption of the fermata and the consequent closes with a one-bar phrase expansion, this opening period establishes both periodicity and closure. The subsidiary area in G flat is filled with a lyrically expanded time which gradually dissolves the periodicity set up by the opening (Example 2.3.2). To adopt the terms of William Rothstein²¹ we begin with a four-bar phrase which lies within a four-bar hypermeasure and exhibits a complete tonal motion (I-IV-I). This is complemented by a further four-bar phrase, the last bar of which overlaps with the first bar of a series of two-bar phrases and results in a hypermetrical reinterpretation in which bar 27 is heard retrospectively as the initial strong bar of a two-bar hypermeasure. What follows (bb.31-35) is more difficult to interpret. The previous units assert themselves as phrases because of the full tonal motion they exhibit and the sense of hypermetre they create. Bars 31-33 exhibit no tonal motion, ergo (for Rothstein) no phrase structure, and no sense of metre above the level of the one-bar unit. What results may be interpreted as a four-bar phrase (20-23), reducing to a three-bar complement (24-26), to two-bar phrases (27-30), and ultimately to one-bar units without their own tonal motion (31-35). In terms of phrase structure, this constitutes a kind of acceleration which is mirrored in turn by the gradual diminution of values from crotchets, to quavers to semiquavers. To adopt Schnebel's terms, time is poured into the time-space (*Zeitraum*) of the G_b section as periodicity, hypermetre and ultimately tonal motion itself dissolve. Correspondingly, sound is poured into what Schnebel calls the sound-space (*Klangraum*) of the same section as the texture thickens from a single line with accompaniment, to an arpeggiated right hand with accompaniment (expressing a fuller compound texture) to block chords in bar 34, to fuller block chords, to louder block chords.

²⁰ I adopt Rothstein's term parallel period as a clarification of Schoenberg's definition. Parallel refers to the similar beginnings of antecedent and consequent. Rothstein (1989), 17.

²¹ Rothstein, W (1989).

Example 2.3.2

So far we have seen various ways in which Schubert articulates the flow of time in song and instrumental work. What is more problematic is defining the extent to which these phenomena are necessarily rhythmic in nature. Among the more clearly rhythmic phenomena are rhythmic patterns. Thus the progressive diminutions of values in *Ihr Bild* and the B \flat sonata express a filling up of *Zeitraum*, which for the lied expresses the growing warmth and reality of the protagonist's dream. (Perhaps this interpretation can also be mapped on to the B \flat sonata which has so much in common with this late song. They share of course their home key-note, their subsidiary key area of G \flat , and, as is frequently observed, the mysterious bass rumble

on F G_b/A_b.²² Our analysis shows that they also share the filling up of time space and sound space with rhythmic activity and fuller textures.) Examples of this kind of development or transformation of rhythmic pattern are rife in Schubert's music. David Lewin, for example, cites a different instance in 'Auf dem Flusse' from *Winterreise*. Lewin observes in this song a progressive diminution of rhythmic values which he describes as a temporal contraction. With successive strophes the right hand values diminish from quavers, to semiquavers, to triplet semiquavers to demisemiquavers.²³ Here there is an explicit image within the poem to which this is linked, that is the gradual perception of the motion beneath the surface of the river, the metaphorical counterpart to the surging torrent underneath the frozen exterior of the wanderer's own heart.

As well as evoking their own sense, rhythmic patterns are frequently studied for their ability to suggest more conventionalised meanings. Thus, slow dactylic rhythms in duple metre are often thought to suggest death as in the song *Der Tod und das Mädchen* D.531 and its textless counterpart, the Andante of the D minor Quartet D.810.²⁴ Fast legato semiquaver passagework in a piano accompaniment often iconically signifies a brook or stream. The horse of *Erlkönig* owes much to the rhythm of the accompaniment, while the Erlking's dance (on the words '*Willst feiner Knabe du mit mir gehn*') is signified by faster rustic dactyls. However, this aspect of rhythm is dependant on conventionalised meanings and will consequently be discussed in section 2.4 of this thesis.

Our examination of *Der Musensohn* showed how the song initially sets up a periodicity and flow, the disruption of which becomes significant for the text. Arnold Feil maintains that the most important parameter for the analysis of Schubert's works is rhythm. Through the influence of Georgiades, to which Feil's approach is heavily indebted, he demonstrates Schubert's ability to realise lyric poetry as musical structure. 'Through these elements [metre and rhythm] he is best able to set a norm, direct the listener's expectations towards this norm, then interrupt the norm and thereby – not only thereby! – create the impression of a certain freedom in the

²² See esp Kerman (1986), 58-59.

²³ Lewin, D., 'Auf dem Flusse: Image and Background in a Schubert Song', in Frisch (ed.) (1986), 134.

²⁴ Brian Newbould cites examples of dactyls in *Das Wirtshaus*, *Die Liebe hat gelogen* and other songs which explicitly concern themselves with death. *Schubert: The Music and the Man* (London, 1997), 160.

declamation, freedom that is peculiar to human speech.²⁵ Many of Feil's analytical observations involve moments where an established periodicity is disrupted in order to foreground a more declamatory style or a particular word or sentiment. A good example of this is his analysis of the metre in the sixth song of *Die schöne Müllerin* 'Der Neugierige'. Feil focuses on the crucial moment in the text where the miller asks the brook if his love for the miller's daughter is reciprocated. The first word is set as recitative over the text, 'Ja, heißt das eine Wörtchen/ das and're heißet . . .', the response 'Die beiden Wörtchen schließen' is set in an implied local 2/4 metre (groups of chords, four quavers in length) which conflicts with the notated triple time. In between lies isolated the little word 'nein'. It is separated both from the following 2/4 units, standing alone as a crotchet beat which does not belong, and from the previous music by virtue of the sudden modulation onto G.²⁶ Thus the whole section is set in relief by the rhythmic differentiation from the surrounding music, the former phrase through quasi-recitative, the latter phrase by the conflicting 2/4 metre. And isolated in the middle is the word 'nein' which belongs to neither, standing as if outside time:

recit 1/4 2/4

Ja heisst das ein-e Wort-chen, das an-dre heis-set nein, die

2/4 2/4 2/4 1/4

bei - den Wort - chen schliess - en die gan - ze Welt mir ein

Example 2.3.3

²⁵ Feil, A., *Franz Schubert: Die schöne Müllerin – Winterreise* (Ditzingen, 1975), trans Ann C. Sherwin (Portland, 1988), 73.

²⁶ Ibid. 63.

From here it is hardly an enormous interpretative leap to assume that by conflating the word 'no' with a moment of timelessness, Schubert is musically encoding an anticipation of the miller's suicide in the face of rejection, thus adding a dimension of meaning not necessarily present in the poem. Nor is such a conflation without precedent either, for in *Gretchen am Spinnrade*, the point at which motion ceases is at the line '*und ach sein Kuß*'. If, as Rosen suggests, the accompaniment figure is not a simple imitation of the spinning motion, but represents the unfolding of her conscious thought,²⁷ the interruption of this motion creates a similar timelessness at the moment where she recalls Faust's kiss, the very act which leads to her ultimate demise. Although such an interpretation goes beyond the meaning of the text itself, it fits with the narrative implications of *Faust I* and would make sense to the educated listener.

Feil's example from *Die schöne Müllerin* enables us to reevaluate our understanding of metre and rhythm. As Christopher Hasty notes, in evaluations of rhythm, metre is all too often regarded as mechanical, law-giving and repetitive – as a static container for rhythm's active events – and as such is valued less positively. If we compare the way in which we use the terms, we realise that 'we can disparage a performance as being too metrical, but it would make no sense to say that a performance is too rhythmic.'²⁸ While the manner in which metre is notated may support such an interpretation, analysis of music such as Schubert's shows us that it constitutes a creative aspect of rhythm; rhythm and metre need not be opposed terms. On the primary rhythmic level, to appropriate Cooper and Meyer's designation,²⁹ metre shapes *and is shaped by* the events of the music with which it interacts, forming an analytical parameter worthy of study in its own right. As Carl Schachter notes, while it may make perfect sense (at least to the seasoned Schenkerian) to consider pitch structure abstracted from its rhythmic housing, it does not follow that rhythm may be so abstracted from pitch.³⁰ The reason for this lies in the basic point which Cooper and Meyer expound in the opening chapters of their seminal study, that our understanding of rhythm involves the interpretation of grouping and accent, and that these are not givens which may be analysed in abstraction, but dimensions which are

²⁷ Rosen, C (1997).

²⁸ Hasty (1997), 5.

²⁹ Cooper and Meyer, *The Rhythmic Structure of Music* (Chicago 1960), 2.

³⁰ Schachter, C., 'Rhythm and Linear Analysis: A Preliminary Study', in Strauss (ed.), (1999), 17-53; 23

dependant on the relative proximity and separation of sounds through such factors as duration, stress, (that is to say the dynamic intensification of a beat which is not the same as accent), dynamics, melody (i.e. intervallic structure), phrasing and instrumentation. Interpretation arises from the study of these factors and a value judgement which, in more ambiguous cases, assesses their relative importance.³¹

The example of 'Die Neugierige' is one of many which Feil discusses in which a metric or rhythmic pattern is both established and subverted to create a particular effect which may support a meaning inherent in the text set. It is however only one way in which rhythm and metre may serve to convey meanings. We find in Schubert examples of effects which are rhythmic or metrical in origin but which are less localised. A work may, for example, have a large scale organisation in which rhythm, metre and phrase structure continually develop rather than change at a specific point (as in *Die Neugierige*). Alternatively, a work may thrive on the tension created through an ambiguity latent in its rhythmic structure from the outset. We will now look at examples of how Schubert treats both of these effects.

The image displays two musical staves in G major (one sharp) and 4/4 time. The top staff is labeled 'phrase' and the bottom staff is labeled 'harmonic rhythm'. Both staves show a four-measure phrase. The top staff has melodic lines with slurs and fingerings (1, 2, 1, 2-). The bottom staff has a more rhythmic accompaniment with chords and single notes. Brackets above and below the staves indicate the phrasing and harmonic rhythm for each measure. The measures are numbered 1, 2, 1, and 1/2 respectively.

Example 2.3.4

Our examination of phrase structure in *Der Musensohn* showed an established regularity which was subverted to create particular effects. Turning again to Goethe, Schubert's setting of *Ganymed* D. 544 can be heard as the opposite, establishing an irregularity of phrasing which contributes to the sense of the drive inherent in the text.

³¹ Ibid. 9.

The beginning of the poem begins with images of Romantic *Sehnsucht*, pouring torrents etc, the conclusion is permeated with ecstatic exclamations ‘Hinauf, strebt’s hinauf! Mir, Mir . . . Aufwärts . . . Aufwärts an deinen Busen. . .’ [Upwards, Strive Upwards! To me, to me! Upwards into your bosom] urging Ganymed towards his final point of rest. At the beginning of the setting the piano accompaniment establishes a periodicity of two-bar units which is undercut in the seventh bar by an acceleration in harmonic rhythm and a phrase overlap/metrical reinterpretation (Example 2.3.4). Bar 8 is melodically and harmonically the conclusion of the previous phrase, as well as the beginning of a new one. Metrically, it is a hypermetrical ‘2’ or upbeat reinterpreted as a ‘1’ or downbeat. The first vocal section also concludes with a written acceleration which also conveys haste to reach the end of the phrase. Each of the opening lines is composed of falling sixth, rising second, rising third. The line ‘Frühling, geliebter!’ compresses this gesture to half its length and repeats it down a tone:

Example 2.3.5

This sense of urgency continues into the following section. Constructed of three four-bar phrases, the end of the third becomes elided in the same way as the end of the piano introduction, that is to say with a metrical interpretation and phrase overlap, a further compression conveying haste. The sense of hypermetre at this point (b.31ff) becomes more ambiguous. The piano part strongly suggests five units of two bars in length rhythmically progressing — ◡ — ◡, but the vocal phrases suggest a conflicting accent. In the following line ‘und deine Blumen’ both sound metrical together, but again the phrase ending is accelerated and elided with that of the following bar (46). In contrast to the expeditious text setting of the opening, the

ending continually returns to the text ‘all-liebender Vater!’ *expanding* the phrase each time (Example 2.3.6). Rhythm in *Ganymed* is but one of the ways in which Schubert conveys the ecstatic drive towards the point of rest. As the phrases are curtailed and melodic gestures and harmonic rhythm are contracted, the journey presses onwards; as they are expanded we feel a sense of rest and resolution.

The image displays three systems of musical notation for Schubert's 'Ganymed'. Each system consists of a vocal line (treble clef) and a piano accompaniment (grand staff). The lyrics are 'all - lie - ben - der Va - ter!'. The first system shows the vocal line with a long note on 'all' and a short note on 'ter!'. The piano accompaniment features a strong down-up motion. The second system shows the vocal line with a long note on 'all' and a short note on 'ter!'. The piano accompaniment features a strong down-up motion. The third system shows the vocal line with a long note on 'all' and a short note on 'ter!'. The piano accompaniment features a strong down-up motion.

Example 2.3.6

The rhythmic technique described in *Ganymed* can be understood as the introduction of a latent tension (the continual acceleration of phrase endings), a move through ambiguity of metre, and the resolution into repeated expansion of phrases creating a sense of ultimate relaxation and closure. Arnold Feil provides us with another example of rhythmic tension from ‘Im Dorfe’, the seventeenth song of *Winterreise*. Here, however, the tension results not from the aspects of phrase structure, but rather from a rhythmic conflict of strong and weak beats. The piano introduction creates a rhythmic effect of successive phrases with a strong down-up motion. When the voice enters it is on the upbeat, which feels initially unnatural. As Feil sees it, the piano part leads strong to weak, while the vocal part leads weak to

strong.³² Expressed in Cooper and Meyer's terminology the opposition of groupings is one of piano trochee (– ◡) versus vocal iamb (◡ –). (We could, however, go further and say that they are both trochaic, beginning at different points so that there is a genuine conflict of accent and that it is inappropriate to describe any given point as an upbeat or a downbeat.)

The image shows a musical score for Schubert's 'Hunde, es raseln die Ketten'. It consists of four systems of music, each with a vocal line and a piano accompaniment. The key signature is D major (two sharps). The piano part features a continuous semiquaver motion in the left hand. Annotations include:

- System 1: Piano part starts with a piano trochee (– ◡) and a vocal iamb (◡ –). The piano part has a 'pp' dynamic marking.
- System 2: Piano part has a 'cresc.' marking and a 'p' marking. The piano part has a piano trochee (– ◡) and a vocal iamb (◡ –).
- System 3: The vocal line has the lyrics 'Es bel - len die'. The piano part has a piano trochee (– ◡) and a vocal iamb (◡ –).
- System 4: The vocal line has the lyrics 'Hun - de, es ras - eln die Ket - ten es schla - fen die'. The piano part has a piano trochee (– ◡) and a vocal iamb (◡ –).

 Arrows indicate the start of the piano trochee and vocal iamb groupings.

Example 2.3.9

As well as demonstrating how Schubert creates tension, Feil shows how Schubert ultimately dissipates it. The middle section (bb.20-28) appears to do away with the tension of the previous one. Not only does he dispense with the alternation of piano trochee/vocal iamb, but he sets it in the more relaxed subdominant and with the rumbling semiquaver motion altogether absent. But shortly the opening material

³² Feil (1988), 32.

returns before its latent tension becomes fully dissolved. This is achieved through a dissolution of the 12/8 metre altogether. At the line 'was will ich unter den Schläfern säumen' the duple construction is replaced by an implicit triple metre, outlined by the melodic construction and the dynamic hairpins.³³ This line is repeated and treated differently each time. In the first setting there is a 3 ♩. bar followed by a 1 ♩. one and a return to the previous tension. In the second there are two 3 ♩. phrases in which the second is an expansion of the first syllable of 'säumen'. This time the tension is fully dissolved and while the semiquaver pattern repeats it is without the opposition of the vocal line, without the ornamented leap of a third and even sees a cadential arpeggiation down to the lowest register and a closing chord. That the implicit metre is only effective the second time strongly suggests that the barred metre of 12/8 is not simply a notational convenience or stricture, for the second grouping of 2 x 3 ♩. – the one which provides resolution – allows a return to the congruence of barlines, so that at the end of this section the notated barline and metrically implicit barline fall in the same place.³⁴ Feil heads his study of rhythm with this example because it epitomises what is significant about Schubert's setting. Rather than setting obvious aspects of the text mimetically, the song as a whole represents a breaking loose from inner conflict realised musically in the song's rhythmic structure.³⁵

In our study of form in Schubert, we saw how the idea of perspective, a key feature for Adorno's interpretation of Schubert, can be understood harmonically. The E_b section of the C major quintet exposition is repeated and interpreted within two different harmonic contexts, thus giving a tangible function or purpose to the repetition. The change of figuration, scoring etc (as seen for example in the openings of the *Forellenquintett* and the B_b Trio) may also be understood to be a matter of viewing the same material in two different perspectives. The visual aspect to the notation of the closing purple patch in the A₁ Moment Musical was also discussed as a matter of perspective; its unusual E major key signature encourages a reading of this material which, although locally counterintuitive, fits within the tonal drama of the piece which centres around the alternation of E and E_b. But perspective can be a matter of rhythm and phrase structure as much as harmony and scoring. At the return

³³ For as Cooper and Meyer note, rhythm is a function of all other musical parameters, melody, phrasing, dynamics etc.

³⁴ This aspect of congruence of barred and implicit meter will again become significant when we consider our next example, Schachter's analysis of Schubert's *Wanderers Nachtlied*.

³⁵ Feil (1988), 37.

of the opening theme of this *Moment Musical*, a phrase overlap occurs together with a hypermetrical re-interpretation. Bars 54-55 can be understood as initiating an eight-bar phrase similar to that of the opening. At the same time, they can be understood as the conclusion of the preceding 16-bar phrase (40-55). Hypermetrically these bars are understood both as the 3rd and 4th bars of one four-bar hypermeasure and 1st and 2nd bars of another overlapping one. (Hypermetrical 'beats' are given in between the staves of the score in Example 2.3.8 at end of chapter.) A reading of foreground detail suggests that these two bars 'belong' properly at the beginning of a mini-recapitulation; i.e. they contain the same gesture which opens the piece. However, a middleground reading of the piece allows this cadence to be understood as the arrival of a half close on $\hat{2}$, the V support for which is undercut by the recapitulation. Furthermore, the *pianissimo* dynamic of this recapitulation lends weight to the feeling that we have somehow slipped in through the back door; what results is a kind of 'pun' of phrase structure. Seen from before, it concludes the phrase; seen from after it begins another. The effect is similar to having unexpectedly tonicised a foreign key area, only here it is achieved through frustrating the expectations of the middleground, eliding these two phrases, and rhythmically playing down a significant structural moment.

In his analysis of the *Wanderers Nachtlied*, Thrasybulos Georgiades makes one particularly interesting point about the relationship of the introduction to the whole song. Two bars in length, its first bar corresponds roughly to the first bar of the song proper, while the second corresponds to the $I^c - V^7 - I$ closing gesture of the song 'Ruhst du auch' and the piano postlude. Through these correspondences, Georgiades urges us to hear the introduction as a contraction of the entire song.³⁶ As such the main body of the song can be heard as an expanded intake of breath followed by a release. Schachter's analysis (Example 2.3.9) supports such a hearing and illustrates the significance of metre in both its barred and implicit forms.³⁷ On the level of motive, Schachter also notes the significance of the opening neighbour figure in the introduction. He observes, however, that it becomes twice expanded within the song proper. The first time it occurs (in the introduction), it occupies the space of

³⁶ Georgiades, T., *Schubert: Musik und Lyrik* (Göttingen, 1967), 20. Georgiades' argument is generally premised on the idea that Schubert's music sets not only poetic meaning (in terms of the general 'mood' evoked by the setting) but real aspects of the language. As such, the bulk of his argument, while interesting in itself, is not of immediate concern to us here.

³⁷ Schachter, C., 'Aspects of Meter', in Strauss (ed.), (1999), 70-117.

four crotchet beats. The second time, it encloses a phrase lasting a bar and a half, six crotchets. The third time, it extends across a phrase and a half over the text 'spürest du, kaum einen Hauch, die Vöglein' to occupy eight crotchet beats. Thus this figure outlines three progressively expanded neighbour figures which are resolved syntactically, as Georgiades notes, with the cadential half of the second bar over the text 'Ruhest du auch' and in the final bar.

Schachter also examines the piece through a more explicitly Schenkerian lens. While the introduction suggests a $\hat{3}$ -line Ursatz unfolded as a lower order descent, the *Kopftön* of the piece is reached through a primary ascent over these neighboured notes B \flat – C – D and only arrived at at the climax of the piece on the word 'Ba-lde', after which the *Urlinie* descends and the piece closes. At a deep structural level, the song unfolds an establishment and release of tension.

Most important for Schachter's analysis is the role which metre plays in the drama of this song. We noted that in *Im Dorfe* the barred metre is not just a notational convenience, but creates the effect of barred and implicit metre moving out of phase and back in again. The same effect occurs in this piece but not as a localised event, rather as the premise for the entire piece. While the barred metre is of four crotchet beats, implicit bars of 4 and 6 beats in length rub shoulders with each other. This has two effects. Firstly, the major sections of the poem are articulated by phrase articulations at which the barlines are in phase before or after being out of phase, i.e. the beginnings of bar 3, 7, 9 and 14. Secondly, this effect provides a sense of tension and resolution. In the middle of the song, bars 7 and 8 form a kind of island of repose where there is no metrical irregularity. Here, as Georgiades notes, the low bass is abandoned, there is no significant harmonic motion, and the vocal line becomes more explicitly song-like, mirroring the sense of interruption created by the longest line in the poem.³⁸ Following this point the metrical tension reappears. The phrase is deliberately expanded through the repetition of 'Warte nur' creating a musically expressed 'waiting' which is complemented by the fermata. The incompleteness that this creates is mirrored both by the continuing accompaniment motion as observed by Georgiades,³⁹ and by the incongruence of actual/implicit barlines.⁴⁰ Thus, Schubert

³⁸ Georgiades (1967), 25-26.

³⁹ Ibid. 29.

⁴⁰ Schachter (1989), 18-19.

takes a second bite of the apple after which the notated and implicit barlines return to being in phase and, the inherent tension dissipated, the piece achieves its conclusion.

While Schachter's analysis of the *Wanderers Nachtlied* is both persuasive and important for the development of post-Schenkerian rhythmic theory, his method in general and this analysis in particular may be thought of as methodologically dubious. As regards his general method, while Schachter's method of durational reduction⁴¹ is very good at representing the prototypical phrases which form the basis for larger progressions, it is, as David Beach points out, technically rather inept at graphically representing the nature of the expansions themselves. Secondly, one might concede that Schachter's study is a very elegant example of understanding the implications for Schubert's music of the rhythm and phrase structure writ large, but since this is a song of a mere 14 bars in length we could feel justified in asking whether there are implications for rhythm in Schubert writ *larger*. Or, put another way, is it possible or even desirable to understand large sections in terms of expansions of prototypical phrases?

There are, of course, plenty of examples in the literature, from Riemann and Lorenz to the more theoretically grounded studies such as that of Lerdahl and Jackendoff,⁴² of theorists who talk about entire works in terms of large-scale structural upbeats and downbeats (whatever these may be). But while these may furnish us with perfectly valid ways of hearing music, it is arguable that these are so far removed from our immediate experience of rhythm that the terminology has become bastardised to become a mere metaphor for how we hear, and that a large scale downbeat has little or nothing in common with an actual downbeat at the primary rhythmic level or even at a low hypermetrical level. Schachter notes, for example, that Edward Cone's structural downbeat is not metrical in origin, nor does Cone pretend that it is. For Cone a structural downbeat marks significant *tonal* events from the phrase, through the period to the level of the whole piece.⁴³ Cooper and Meyer's hierarchical accents on the largest level are better regarded as 'stable' sections, rather than 'strong' or 'accented' ones, and are thus different in nature to

⁴¹ This is explained at length in the second *Music Forum* article reprinted as 'Durational Reduction', in Strauss (ed.), (1999), 54-78.

⁴² Note especially their method of time-span reduction which as Monelle (1992) notes explicitly connects large- and small-scale tension and relaxation and postulates that both rhythmic and harmonic structure are 'generative'. 136-37.

⁴³ Schachter (1999), 31.

lower level accents. Even more general metaphors such as tension, stability, motion and energy cannot be necessarily understood to mean the same thing across structural levels, or more importantly between musical domains; rhythmic tension, for example, is not the same as harmonic tension (which is not to say that the two cannot complement each other).⁴⁴ And while there is general agreement that hypermetre may be perceived locally, theorists are more sceptical about its ability to function across a whole piece; perhaps it does not make much sense to expect hypermetre to function at high levels or to analyse pieces as if it does. (Otherwise Cone's structural downbeats *would* be metrical in origin, high level organisation in Cooper and Meyer would be notated as metrical rather than rhythmic in origin, and analysis of common-practice music would be simply a matter of carving up works into hierarchically arranged phrases and expansions thereof.)

David Beach presents us with several examples from Schubert and Beethoven which attempt to investigate the larger scale functioning of phrase rhythm.⁴⁵ The first Schubert example serves (as Beach suggests it should) as an example of Rothstein's method, his terminology pilfered from theorists from Koch and Riepel to Schenker and later Schachter and mapped convincingly onto the opening phrases of the second movement of the C major Quintet D 956.

The F minor B section of the same piece provides us with an example of two phrases, the second of which (bb.38ff.) is vastly expanded in various ways. This phrase is graphically illustrated in Example 2.3.10. Beach finds that the first four-bar subphrase establishes a four-bar hypermetre and is then subjected to a varied repetition. The fourth bar of the varied repetition, marked with a boxed 4, remains basically the same and becomes recognisable as a standard sub-phrase ending, a simple I^c – V whose resolution is denied. The following four bars are then interpolated with the same fourth bar phrase ending. The interpolation is repeated and itself becomes expanded internally by two bars (52-53) and then closes with the same fourth bar figure, altered slightly, reiterated as a closural gesture and then presented for a third time as in bars 41 and 45. At this point, phrase 2 proper continues, leading to a modulation back to a modified A section. In effect what Beach is suggesting is that the whole 33-bar B section can be understood as two phrases, the large-scale phrase rhythm which we were looking for. The second of these is massively

⁴⁴ Ibid. 51.

⁴⁵ Beach D., 'Phrase Expansion: Three Analytical Studies', *Music Analysis* 14/1 (1995), 27-47.

expanded by varied repetition, interpolation and varied expanded interpolation while the constant reiteration of the fourth bar of the second phrase lends coherence to this massive expansion. This fourth bar marks out the articulation of the smaller subsections, and it produces the feeling that throughout this whole section we are poised on the brink of resolving onto the continuation of the phrase proper, a feeling only heightened by the three-fold presentation of this gesture in bars 55-57.

Effectively, Beach has shown us an example of phrase expansion which, while plausible on paper, may prove rather difficult to hear as such. The expansions of the second phrase are so many and so large that they stretch our capacity to hear the music in this way towards, and even beyond its limits. This feeling need not be understood as entirely negative. That Schubert's B section stretches phrase-structure to breaking point is the most important conclusion which Beach *doesn't* draw. Schnebel described Schubert's music as creating spaces which are imbued with time. This is effectively what Beach has described here. Just as Schubert often creates a sense of timelessness through directionless Riemannian transformations, music which doesn't develop but unfolds pure lyricism, here Schubert is seen to create a similar feeling through stretching periodicity to (and perhaps beyond) its breaking point, filling a simple phrase to the top with the capacity for the anticipation and reflection (which Schnebel found to characterise the *Vorspiele* and *Nachspiele* of 'Ihr Bild') while avoiding closure sufficiently long enough to stretch credibility but reaching it at a point where the boundaries of the large-scale phrase may still be felt to be intact. Rothstein describes the sense of expansion of a hypermeasure as a kind of composed rubato. 'What a performer's *rubato* achieves on a relatively small scale – "stretching" the metre without breaking it – the controlled disruption of hypermetre can achieve on a much larger scale.'⁴⁶ Thus, if we return to Monelle's opposition of *Satz* and *Gang* as lyric stasis versus dynamic progression, we understand that a large-scale expansion of a single phrase revels in the very lyrical timelessness of the type which Adorno finds to be characteristic of Schubert.

This section has observed the importance of temporality for discussion of Schubert's music. Indeed in certain lieder, the passing of time is itself a subject of the text, and this aspect of temporality is often expressed in musical terms (*Der Musensohn*). While it is evidently difficult to identify features of music which are

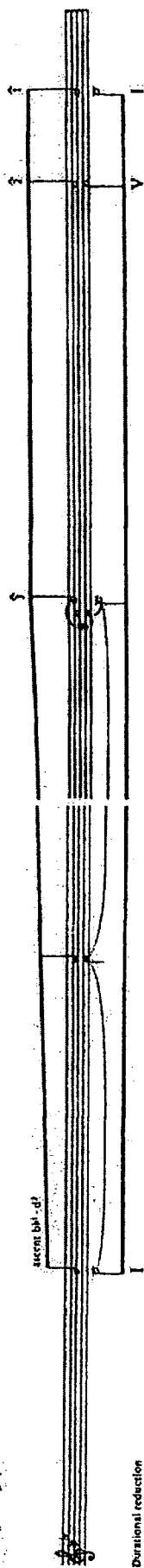
⁴⁶ Rothstein, W., (1989), 43.

purely rhythmic (grouping and metre being themselves products of pitch, dynamics and other factors), it is not difficult to see evidence of the role which rhythmic features play in shaping the pieces discussed. Implicit metre in 'Die Neugierige' from *Die schöne Müllerin* was seen to separate text into discrete units. A conflict between barred and implicit metre may also govern the expressive sense of a whole lied (c.f. *Wanderers Nachtlied*). The sense of initial urgency followed by final relaxation found in *Ganymed* was seen to be a feature of the compression of harmonic rhythm and diminution of established patterns, followed by metrical ambiguity and ultimate expansion of phrases in successive repetitions. Equally the development of particular rhythmic patterns has been shown to be important for works such as *Ihr Bild, Auf dem Flusse* and the exposition of the B \flat sonata, in conjunction of course with other factors. Finally we have shown how large-scale phrase rhythm can be interpreted both as active in substantial sections, and as a force which stretches the listener's capacity to hear these as coherent. To place a limit at the point at which an expansion becomes implausible or unhearable is to be as unpalatably dogmatic as Schenker (whose 'mysterious five,' by way of comparison, also limits the 'correct' number of repetitions in a Rondo amongst other things). To ignore the emergent feeling of 'over-expansion' in this work is to miss one of the fundamental ways in which rhythmic factors govern our experience of Schubert's music.

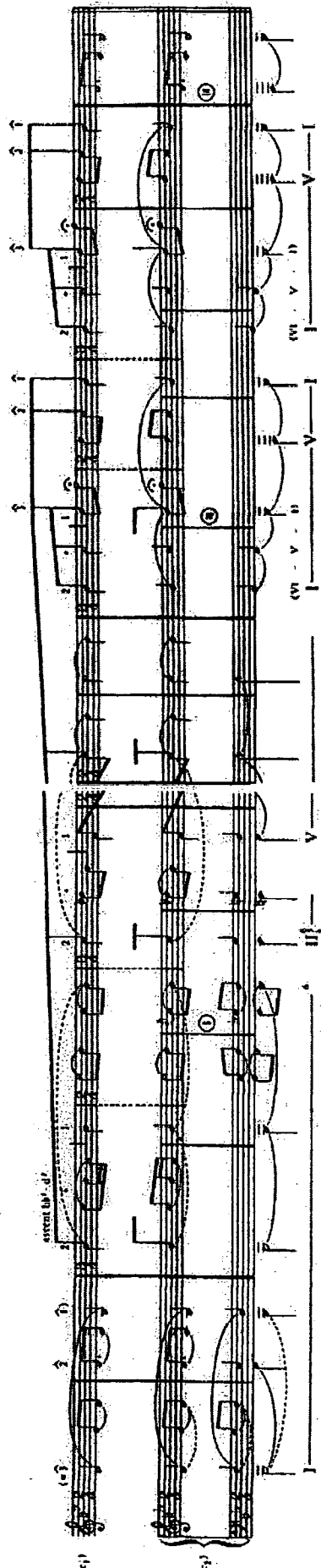
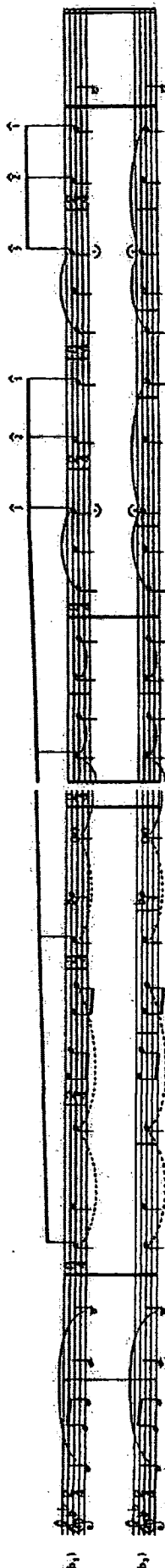
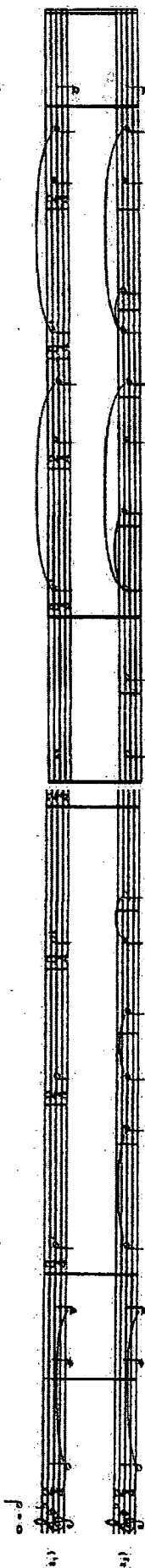
The musical score is divided into two systems. The first system consists of three staves. The top staff begins with a treble clef and a key signature of two flats (B-flat and E-flat). It contains a melodic line with several measures, including a half note and a quarter note. Below the first staff, there are two more staves, likely for a piano accompaniment. The second system also consists of three staves, continuing the melodic and harmonic development. The notation includes various musical symbols such as clefs, key signatures, time signatures, and dynamic markings. The score is annotated with Roman numerals (I, II, III, IV, V, VI, VII, VIII, IX, X, XI, XII) and figured bass notation (e.g., 1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12). The score is written in a style that suggests it is a historical or academic manuscript, with a focus on harmonic structure and melodic contour.

Example 2.3.8

Midground graph



Durational reduction



Example 2.3.9

Example 2.3.10

Phrasing I

(30) $f: i$ $[V^7]$ iv^5b6 v^7 i i i $[V^7]$ iv^5b6 i
 $C: iv^5b6$ v (i) v i $[V^7]$ iv^5b6

(35) i 6 7 8 $9/11$ 4 3 2 7 6 7

interpolation

(46) $c: [V^7]$ iv^5b6 v^7 i i i $[V^7]$ iv^5b6 v^7 i
 $c: [V^7]$ iv^5b6 v^7 i i i $[V^7]$ iv^5b6 v^7 i

expanded interpolation

(50) i 6 7 8 $9/11$ 4 3 2 7 6 7

(55) i 6 7 8 $9/11$ 4 3 2 7 6 7

Phrasing 2

(38) $c: i$ $[V^5]$ $iv - bii$ v^5 i i i $[V^5]$ $iv - bii$ v^5 i
 $c: i$ $[V^5]$ $iv - bii$ v^5 i i i $[V^5]$ $iv - bii$ v^5 i

varied repetition

(40) i 6 7 8 $9/11$ 4 3 2 7 6 7

(45) i 6 7 8 $9/11$ 4 3 2 7 6 7

(58) i 6 7 8 $9/11$ 4 3 2 7 6 7

(60) i 6 7 8 $9/11$ 4 3 2 7 6 7

A'

(65) i 6 7 8 $9/11$ 4 3 2 7 6 7

E. IV v i

2.4 Schubert's Musical Signs

In the first movement . . . we feel for a few moments as if we were at a rustic wedding; an action seems to begin unfolding, but then is gone at once, swept away in the rushing music which, once imbued with that image, moves onwards to quite a different measure. Images of the objective world appear in music only in scattered, eccentric flashes, vanishing at once; but they are, in their transience, *of music's essence*.¹

Once my father took us to a feast. There my brothers became very merry. I, however, was sad. Then my father approached me and bade me enjoy the delicious dishes. But I could not, whereupon my father, becoming angry, banished me from his sight. I turned my footsteps and, my heart full of infinite love for those who disdained it, I wandered into far-off regions.²

Any study of Schubert's music is bound to acknowledge (albeit to greater and lesser degrees) the presence of conventional signs, to which conventionalised meanings may be attributed. (For the moment I wish to forego identifying these types of signs by their 'correct' names.) We have already seen one such example in our discussion of *Das Zügenglöcklein* D.871 and *Die Jünge Nonne* D.828 in which an inverted pedal in the highest piano voice imitates the chiming bells present in the songs' respective texts. The former is given below as example 2.4.1. In the latter case the poem urges us to hear this sound together with the Nun: '*Horch, friedlich ertönt das Glöcklein vom Turm*' ['Listen, the little bell sounds peacefully from the tower'].



Example 2.4.1

¹ Adorno (1998), 8.

² Deutsch (1946), 227.

Rosen refers to another type of musical gesture, that of the echoing horn call at the end of the piano introduction to 'Der Lindenbaum' which, in a manner reminiscent of the opening gesture of Beethoven's *Les Adieux* sonata, stands for memory symbolising absence and regret.³ Indeed, as Rosen observes, the song becomes saturated with horn sounds, the opening stanza scored as if for a quartet of horns.⁴ Conventions in Schubert may be far more general than this however. Within a minor context, a sudden modulation to the major, for example that in 'Frühlingstraum', may represent a turn towards a happier illusory past.⁵ A conventional sign may be more continuous than these momentary gestures, perhaps present only in the accompaniment line. The riding horse triplets of *Erkönig* or the spinning wheel of *Gretchen* spring most immediately to mind. Indeed as Monelle points out, Schubert's vocal line annihilates the latent triple rhythm of '*Wer reitet so spät durch Nacht und Wind*', shifting the sonic resemblance to the accompaniment line alone.⁶ Monelle observes that Reichardt preserves the 'riding rhythm' in the vocal line of his setting. Indeed given that this is also true for the setting by Loewe and the fragmentary setting of Beethoven, we may begin to understand anew the force of Schubert's own through-composed ballad; by thus annihilating and reconstructing the rhythm of the horses hooves, Schubert draws attention to this deliberate iconicity and makes it his own creation. By way of a counterexample, the hunt-like rhythms of 'Der Jäger' from *Die schöne Müllerin* also remain present in the vocal line.

Often the thing imitated is music itself, for example the hurdy-gurdy of *Der Leiermann*, the lute of *Pause* and the implicit guitar accompaniment of Rellstab's *Ständchen* from *Schwanengesang*. In addition to the real resemblance between instrument (lute and hurdy-gurdy) and musical realisation, there is a sense of convention according to which we recognise the music as 'organ-grinder-like'; as Youens points out, our understanding of the latent nihilism and self-recognition is contingent on our understanding the hurdy-gurdy as expressively limited, mechanically churning out a predetermined melody, even though the instrument in

³ Rosen (1995), 117.

⁴ Ibid. 119.

⁵ See e.g. Hatten 'Schubert's Pastoral', in Newbould (ed.), *Schubert the Progressive* (Aldershot, 2002), 151-168; 155, and, Kinderman (1986).

⁶ Monelle (2000), 48. As James Bailey has shown, the meter of stress in Goethe's poem shapes the dynamic of the drama, climaxing in the seventh stanza with an extra syllable. Bailey, J., 'The Stress Meter of Goethe's *Der Erkönig*', *Language and Style, an International Journal*, 2 (1969), 339-351.

question does not in reality function in this way.⁷ Equally the absence of music or the cessation of singing may be denoted by the use of recitative-like passages embedded within otherwise lyrical ones. Within the context of *Der Neugierige* the words 'Ja' and 'Nein' which hold the young miller's life in the balance appear to be an un-song-like moment of reflection. Alternatively, a particular genre or type of music may convey associations of emotional state, social activity or type/class of person. As Schubert's style progresses, however, we encounter gestures which cry out for some kind of interpretation but which lack obvious conventional associations, such as the bare octaves of *Ihr Bild*, the arpeggiated diminished seventh of *Die Stadt*, the rumbling trill of the B_♭ sonata, and so on.

Despite taking an ambiguous position on the subject of musical signification, Adorno would clearly acknowledge the importance of all these types of sign. Although at one point he writes that music 'creates no semiotic system',⁸ he does not hesitate to identify types of music or classify it generically and ascribe meaning in this way. In the quotation at the head of this chapter, Adorno describes a moment from the Great C major symphony where the music conveys the sense of a rustic wedding. Particular aspects of the music conventionally establish a pastoral meaning, if not a narrative as such. The music does not function for Adorno as a series of images; rather we encounter one image and then a retreat from this point. The retreat perhaps represents a turning away from an image of society, similar to that which occurs twice in Schubert's allegorical tale *Mein Traum*. Both the feast and the garden of this tale are pastoral images of man and nature in happy union and both are rejected for the solitude which leads to a new synthesis. Evidently Schubert's music can be construed both as being loaded with content and as being semantically barren.

At the same time, the idiosyncratic construction which Schubert's music often exhibits is described by Adorno as a Biedermeier musical potpourri. For this reason a sentimental piece like *Das Dreimäderlhaus* finds in Schubert an ideal subject:

That *Das Dreimäderlhaus* concerns itself with Schubert, not Mozart and Beethoven is also highly justifiable, and the socially determined affinity of the Biedermeier with Genre-Postcards, which gives rise to that degrading [*Verkitschung*] of Schubert is apparent in the works themselves which consist

⁷ Youens, S., *Retracing a Winter's Journey* (Ithaca, 1991), 297.

⁸ Adorno (1992), 1.

of the continuity of disparate things [*Vereinzelnten*] within Schubert's musical landscape.⁹

As well as moments within pieces which attain meaning from conventional signs, entire pieces may develop similar meanings through established codes, perhaps cued by a generic title. For Adorno, Schubert's musical world is one of the military march, the domestic dance, drifting banality and easy drunkenness; indeed it often so closely approaches bourgeois reality that it threatens to break out of the region of art.¹⁰

It is worth recalling that of the pieces which Adorno discusses, most of them belong to Schubert's mid to late works, that is to say from 1822 onwards.¹¹ In this context Adorno's closing statement previously cited takes on a particular significance:

Confronted with Schubert's music, tears flow from our eyes without first consulting the soul: it moves us in an unfigurative and real way. We cry without knowing why; because we have not yet become what that music promises, and in the indescribable joy that exists only to assure us that we will ultimately become like it. We cannot read them, but our blurring overflowing eyes hold before them the ciphers of ultimate redemption.¹²

For Adorno, the late works are powerful because they signify in a way which is somehow more direct. They are unfigurative, the ciphers are not translatable, and yet they still appear profoundly meaningful and demand interpretation.

It will have become apparent that Schubert's music contains not only many different musical signs, but many different classes of sign. There are those which are localised, perhaps signifying through a resemblance with that signified (in particular ones which signify musical correlates) and there are other localised ones where meaning is reliant on convention. There are some types of figuration which govern the expression of entire pieces and others which govern sections of pieces. The

⁹ Adorno (1982), 21.

¹⁰ Ibid. See esp p.32.

¹¹ For a list of the works discussed see Chapter 1.

¹² 'Vor Schuberts Musik stürzt die Träne aus dem Auge, ohne erst die Seele zu befragen: so unbildlich und real fällt sie in uns ein. Wir weinen, ohne zu wissen warum; weil wir so noch nicht sind, wie jene Musik es verspricht, und im unbenannten Glück, daß sie nur so zu sein braucht, dessen uns zu versichern, daß wir einmal so sein werden. Wir können sie nicht lesen; aber dem schwindenden, überfluteten Auge hält sie vor die Chiffren der endlichen Versöhnung.' Adorno (1982), 33.

language of musical semiotics which I will draw on furnishes us not only with 'labels' for categories of sign, but also ways in which to understand how these signs become meaningful. Indeed the investigation of the 'how' should be the purpose of our interpretative enterprise. This chapter could, of course, set about producing a taxonomy of Schubert's musical signs and their interpretative correlates. While limitations of space alone would render such a project unviable, it is generally agreed that the result would equally be undesirable. In his recent discussion of topic theory, Monelle shows us the thoroughness with which a grounding of topical meaning should proceed. His discussion of the topics of the riding horse, the descending second or *Pianto* figure and the march shows us the way in which cultural meaning may be ascribed to musical signs.¹³ A taxonomy of the musical sign in the manner of Deryck Cooke's *Language of Music* proves inadequate on several counts. Firstly, it has a naïve view of the way in which music signifies, attributing to it purely referential content. The distaste we might feel for Cooke's method, and the suspicion which surrounds any semiotic enterprise stems, for Monelle, from the fact that music is not primarily referential – the notion of 'the signified' makes little sense in music.¹⁴ Secondly, it does not account for the possibility of semiotic growth. For music to be a play of conventions requires the establishment of a set of conventions whose meaning is continually subject to change. Robert Hatten gives an example of what he terms 'markedness growth' for the case of the picardy third. A picardy third is a marked event with respect to its minor surroundings. The subversion of an anticipated picardy third is in turn marked with respect to its preparation, etc.¹⁵ There are many examples in which certain classes of sign grow out of previous conventions. These will be discussed in due course. Thirdly, a simple taxonomy does not account for the way in which different musical signs combine to create new meanings. While Kofi Agawu borrows Ratner's taxonomy of classical topics he grounds these in a study of their rhetorical functions as beginnings, middles and ends. As he himself acknowledges, 'the interpretation of topics is finally not essential'.¹⁶ Given the 'dependent status of topical signs',¹⁷ that is to say their absence of syntactic sense, the search for topics constitutes only half an enterprise. In addition to the syntagmatic

¹³ Monelle (2000), 41-80.

¹⁴ Monelle (1991), 13.

¹⁵ Hatten, R. *Musical Meaning in Beethoven* (Bloomington, 1994), 41-42.

¹⁶ cit. Monelle (1992), 273.

¹⁷ Agawu (1991), 25.

combining of topicals signs, Hatten's notion of troping provides another way in which signs combine to create new meanings.

Peirce's three basic categories of sign, icon, index and symbol, are of particular relevance to music. Thomas Sebeok provides simple definitions of these terms:

A sign is said to be **iconic** when there is a topological similarity between a signifier and its denotata. . . . A sign is said to be **indexic** insofar as its signifier is contiguous with its signified. . . . A sign without either similarity or contiguity, but only with a conventional link between its signifier and its denotata, and with an intentional class for its designatum, is called a **symbol**.¹⁸

Examples in Schubert of *pure* icons and symbols are not hard to come by. As previously remarked the inverted pedal figure of *Das Zügenglöcklein* is iconic of the bell, although the correlation is clearly cued by the text of the lied. The opening of *Suleika* I D.720 is heard as iconic of the east wind carrying news. The falling figure of 'Letzte Hoffnung' is iconic of the falling leaves. By contrast, the slow dactylic figure of *Der Tod und das Mädchen* (song and quartet-movement), a figure which features in many other works, signifies through convention rather than resemblance; this is to say that these figures are Peircean symbols. Even more conventionally, a turn from major to minor can be construed as a symbol of tragic reversal.

A pure index in music is a little harder to find. The *Gefror'ne Tränen* of *Winterreise*, musically realised as detached piano notes and off-beat accents are indexical of suppressed emotions – that is to say they are traces of the emotions which give rise to them. Of course the piano figuration is in the first place iconic of the tears themselves, hence the gesture signifies in two different ways. The poems of *Winterreise* themselves are packed with visual indices. Indeed this is most appropriate, for the index is a symbol of that which has been; it has the quality of pastness or of a memory. It is this quality which Adorno too observes in Schubert when he remarks 'Schubert's forms are testaments to that which once was . . .'¹⁹ The marks of the tear drops in the ice are indexical signs. The falling leaves are indexical

¹⁸ Sebeok, T., *Signs: An Introduction to Semiotics: 2nd Edition* (Toronto 2001), 50, 53, 55.

¹⁹ Adorno (1982), 27.

of winter. The weather vane too is an intentional index and, by extension, the sudden swerving key changes (behaving like the weather vane as if moved by an overpowering external force) are also indices. Of course the weather vane is a poetic symbol of the changeability of the woman's affections. For Monelle, dance topics which bear the trace of human bodily movement are musical indices. Furthermore, within an aesthetic of expression all music could be considered to be indexical. Emotions are not signified by resemblance. Rather they are stimulated by the emotion of the producer of the music. The directness of music may be understood to be the directness of the index. Peirces comment about indices, that "they direct the attention to their objects by blind compulsion"²⁰ without any need for resemblance is uncannily reminiscent of Adorno's statement that Schubert's music moves the body to tears in an unfigurative and real way without first consulting the soul.

Through trying to categorise certain musical signs we have already encountered examples which do not purely belong to one type. This need not suggest the inadequacy of the metalanguage, rather it hints at the complexity of the signification. As Monelle himself points out, musical symbols may function iconically, indexically and symbolically at once without any one of these operations compromising either of the others.²¹ As well as occurring at once, there is within these classes of symbol the potential for a kind of semiotic growth. Musical symbols, for example, may have their origins in icons or indices. Rosen's horn call is a classic case of this. While the piano figuration is iconic of the horn call, there are (as he observes) no horns in the song 'Der Lindenbaum'. The figure is here a symbol of absence and regret which has its origin in a musical icon. There may even be cases in which the original iconic significance of a musical figure becomes lost in its new guise. Joseph Kerman observes that in the late songs of *Schwanengesang*, musical introductions which would have had a direct pictorial (iconic) reference (in the San Marco bells of *Der Gondelfahrer* D.808 for example) become purely musical ideas which bear the traces of their origins but now have no direct referent.²² As Kerman puts it 'a device that begins frankly as a reflection of a literary idea . . . ends up as a purely musical resource.'²³ Indeed he likens such gestures to Suzanne Langer's

²⁰ cit. Monelle (1992), 212.

²¹ See his discussion of Karbusicky on Mahler's cuckoo calls from the first symphony. Monelle (2000), 15.

²² Monelle's 'piano figure' comes to mind here.

²³ Kerman (1986), 58.

unconsummated symbols which both deny and demand interpretation. All of which is to say that in Schubert's music layers of signification are added, meaning is enriched and origins are often obscured.

Music semiotics consistently utilises the term 'topic' for musical signs which denote a particular mode of expression. The fullest articulation of a theory of topical meaning for the Classical style is Agawu's *Playing with Signs*, although he is indebted to Ratner's and Allanbrook's writings on the same period.²⁴ The use of the term raises some fundamental questions about what the term 'topic' means and how topics function both within a given piece of music and in a wider sense. What is a topic? How do topics relate to each other in a piece of music? Do topics retain their meanings and if not how do they develop?

The first of these questions, 'what is a topic', elicits three different types of answer which address the debt of the topic to conventionally recognisable musical units, its scope (how big is a topic?) and its basic musical ingredients. Both Agawu and Hatten agree that a topic is either a type or a style of music. Musical types include references to full genres such as baroque dances (minuets, sarabandes, gavottes etc). Styles on the other hand may be distinctive but not explicitly generic passages such as fanfares, hunt music, horn-like scoring etc. or, as Agawu adds,²⁵ 'procedures' such as contrapuntal progressions denoting a 'learned style'. A topic may also be defined as a type or style of music which is referred to within the context of a larger overarching genre. Thus a Bach Minuet is an example of a genre with expressive and formal requirements of its own; whereas minuet-like music within a sonata form exposition would be truly 'topical'. A topic becomes recognisable as such because of various constituent features. For Allanbrook, high, middle and low style dances are broadly identifiable by their characteristic rhythm, metre and tempo. For Agawu, the scope is further extended to texture, timbre, melody and harmony. Hatten's identification of pastoral features of Beethoven's op.101 nods in the direction of all of these,²⁶ but it is evident that for Hatten the interpretation of any given feature becomes more plausible through the larger generic context within which it is placed.

²⁴ Ratner, L., *Classic Music: Expression, Form and Style* (New York, 1980); Allanbrook, W.J., *Rhythmic Gesture in Mozart – Le Nozze di Figaro and Don Giovanni* (Chicago, 1983).

²⁵ Agawu (1991), 128.

²⁶ Hatten (1994), 97-99.



If topics become meaningful within contexts, what are those contexts? For Agawu there are two potential answers. The first is a rhetorical paradigm of beginning-middle-end which lends a piece shape. Classical beginnings mostly articulate well-formed phrases, middles are marked by process and instability, and endings are rife with closural, particularly cadential, gestures. Certain topics, for Agawu, are appropriate to certain points in the music – cadenzas as penultimate gestures, horns as beginnings and endings etc. It becomes clear, however, that the features which mark music as beginning-type, middle-type and end-type are subject to a semiotic play in which functions become subverted; beginnings may contain middle-type music or may deliberately open with a characteristically closural gesture. Furthermore, topics often step outside their normative rhetorical positions to create new musical meanings. The second of Agawu's answers is that topics are subject to a musical plot, a kind of secret agenda stimulated by topics and their disposition.²⁷ Hatten also asserts that musical works are subject to such overarching schemes. He terms these 'expressive genres', maintaining that genres are often defined historically in terms of their expressive (as opposed to formal) qualities and citing Rousseau's discussion of the *Romanze* as a characteristic example.²⁸ Furthermore an expressive genre, while it may denote a narrative or progression from one state to another (for example 'Tragic to Transcendent'), need not necessarily do this. These expressive genres may coexist with more formal genres, some more flexibly than others.²⁹ Effectively the expressive genre guides the listener's interpretation of individual features while itself arising from an amalgam of these.

Agawu tacitly admits that the major weakness of his theory is a primarily synchronic view of the classical style.³⁰ If we were to apply his rigidly defined topics to Schubert's music we would encounter our first methodological stumbling block. Furthermore the music which would previously have signified a beginning, middle or an end is used in a different way. Thus, Agawu writes that 'in many of Schubert's late piano sonatas, there appears to be a problem of closure, of just when to say

²⁷ Agawu (1991), 130: 'A confrontation between high and low styles, an episode from a *commedia dell'arte*, a critique of an Enlightenment world view: these are sample plots developed for various pieces.'

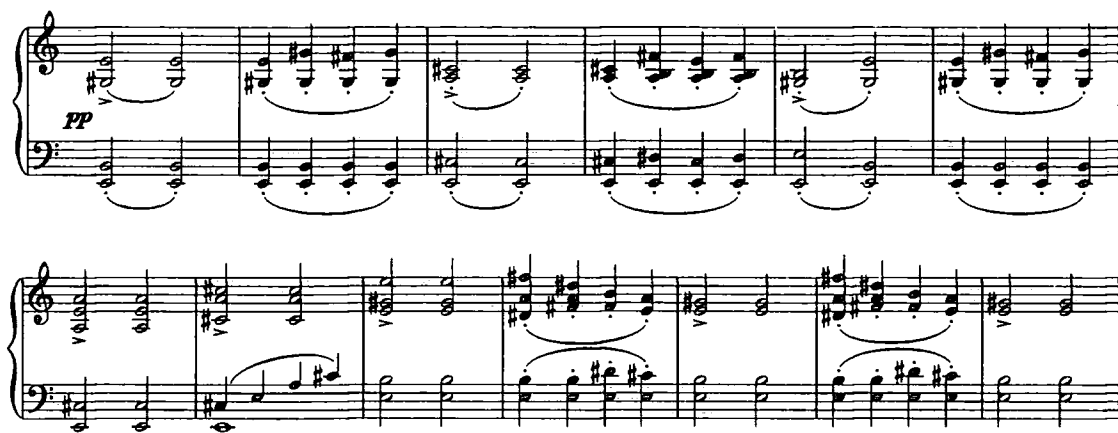
²⁸ Hatten (1994), 69.

²⁹ Beethoven's sonata forms for piano are seen to contain a great variety of expressive types, while fugues accommodate a narrower range of topics. Ibid. 84-87.

³⁰ Agawu (1991), 127.

farewell.³¹ Consequently the timelessness which Adorno identifies arises not only from the over-expansion of phrases we identified in the B section of the String Quintet (see section 2.3), or from the directionlessness of pockets of Riemannian space, but also from a weakening of ‘generic signs of closure’ whose implications are postponed, if not ultimately denied.

If topical signs and rhetorical types are subject to semiotic growth, we must address the ways in which their meanings change. Firstly, classical music having established a set of norms, becomes subject to an increasing degree of ‘play’. Thus late Beethoven is often profitably understood in terms of its play with classical conventions. For Agawu, Schumann’s ‘Der Dichter spricht’ from *Kinderszenen* acts broadly like an ending. Although Rosen’s approach to the composers of the Romantic generation is not grounded in any semiotic theory, he too describes the first song of *Dichterliebe* in terms of its play with rhetorical norms – as beginning in the middle and not ending.³² In considering the Classical style synchronically, Agawu is able to an extent to establish what is ‘normative’; for the later nineteenth-century it becomes more difficult to identify any norm from which its musical rhetoric departs.



Example 2.4.2

Secondly, contradictory topics may combine with each other in ways which give rise to new meanings. This is a central feature of Hatten’s view of musical meaning which he refers to as troping. Troping is a particular aspect of Agawu’s play which arises from a contradiction of stylistic expectations. As Hatten puts it: ‘Troping akin to metaphor occurs when two different, formally unrelated types are brought together in the same functional location so as to speak an interpretation based

³¹ Ibid. 138.

³² Rosen (1995), 41.

on their interaction.³³ For Monelle, the cadential beginning of Beethoven's First Symphony constitutes a particular type of rhetorical trope.³⁴ Hatten argues that a common expressive device for Schubert is the troping of pastoral and hymn topics.³⁵ The opening of the G major sonata D.894 furnishes us with one example, its slow harmonic rhythm, sustained pedal and compound metre merging with a hymn-like dignity and texture. The second subject of the A minor sonata D.784 'with its four-voice texture and male choir registration combined with pastoral pedal, slow harmonic rhythm, subdominant emphasis, and simple texture'³⁶ is another clear example of the pastoral/hymn trope (Example 2.4.2).

Thirdly, a topic may take on a different meaning due to the different dramatic or generic context in which it is placed. Monelle remarks that the military topic in particular has a long and complicated history. 'It is already to be found, in the form of fanfare figures, in Jannequin's chanson "La guerre", which represents the battle of Marignano of 1515, and "Non più guerra" from Monteverdi's *Fourth Book of Madrigals* of 1603 . . . and it is still to be heard, though in dysphoric form, in Mahler's Third Symphony.'³⁷ In different contexts marches and fanfares clearly suggest different meanings. In Mozartian *opera buffa* it is often used ironically, as for example in *Non piu andrai*, and *Bella vita militar* – Cherubino, Ferrando and Guglielmo evidently have no intention of going to war. The fanfares of Wagner's Valkyries are, on the other hand, about as warlike as music can get. Shorn of any dramatic context, the march for Schubert became 'tamed' to become an archetypal bourgeois piano miniature which for Adorno was identifiable with 'drifting banality and easy drunkenness.'³⁸ The march in Schubert, however, attains many different types of meaning depending on its different contexts. This will become apparent as we study its occurrence within the operas. Hatten also points out that the pastoral expressive genre of Beethoven's op.101 becomes a lens through which to view the march of the third movement; here the sustained pedal points, parallel tenths and inherent rusticity combine with the dotted rhythms and other military cues to create a troping which he terms pastoral march.³⁹ The example of the march clearly

³³ Hatten (1994), 295.

³⁴ Monelle (1992), 271.

³⁵ Hatten (2002), 156.

³⁶ Ibid. 156-7

³⁷ Monelle (2000), 36.

³⁸ Adorno (1984), 32.

³⁹ Hatten (1994), 104-107.

demonstrates that a fully-formed topic theory consists of more than pinning simple labels onto sections of music. It would clearly be misguided to understand the conclusion of *Non piu andrai*, the Valkyrie motive, a Mahlerian dysphoric fanfare and the opening of Schubert's first 'Military March' D.733 as meaning essentially the same thing.

Fourthly, the signs of post-classic music often become less to do with musical iconism and more to do with personal cryptic gestures. Agawu writes:

Whereas eighteenth-century music defamiliarized "ordinary" materials such as fanfares, hunt-calls, brilliant-style effects, and so on, therefore making them properly and self-consciously artistic, Romantic music, without abandoning this gesture, often prefers a break with the outside world by entering into private, biographical realms in which the cryptic sign holds the key to meaning in the musical work.⁴⁰

While this is something of a generalisation, it rings true with the our discussion of the nature of signification in late Schubert. For Kerman, previously iconic introductions were seen to develop into enigmatic gestures bearing less specific meanings. For Adorno, Schubert (for which we must read mid- to late-period Schubert) works on us in an unfigurative and real way, like ciphers which we are unable to read. Kerman and Adorno's views on this subject are perhaps linked by Adorno's term *Sprachcharakter* which, as previously discussed, suggests that the meaningfulness music's gestures lies in part in their previous social functionality.⁴¹ Furthermore late Schubert can be understood to be symbolic in the Romantic sense discussed in section 2.1. Its gestures are intransitive (not referring to anything outside themselves); they express the inexpressible as in Friedrich Schlegel's 'higher allegory' (the absolute or the unconditioned, rather than natural or worldly things);⁴² as they develop they create their own internal coherence; as pointed out in section 2.1 their timelessness perhaps negates the feeling of production and suggests Benjaminian allegory rather than Romantic symbol; they refer to themselves synthetically binding signifier to signified.

⁴⁰ Agawu (1991), 138.

⁴¹ Paddison (1993), 143.

⁴² Starr (1964), 40.

As we have previously remarked, the quotation at the head of this chapter identifies a rustic quality at the beginning of the development section of the Great C major symphony followed by an absence of obvious semantic content. A pastoral topic is clearly cued by many of the features which Hatten attributes to it. These include the pedal on I in the basses and a concomitant harmonic stasis. The middle voices outline a rocking accompaniment figure with a similar figure in the cellos. The parallel 3rds of the winds are, as Hatten notes,⁴³ often a pastoral cue for the baroque, suggesting simple homophony as opposed to 'learned' polyphony and perhaps implying an operatic happy concordance (as in duets such as *Così's Ah guarda sorella*).

We may also express semiotically Adorno's assertion that once the music is imbued with the image of rustic wedding, it continues imbued with that image 'to quite a different measure'. For Agawu it is the exposition of a sonata form which most clearly presents the significant topics. This is due partly to the series of closed periods which it is made up of, but for the eighteenth-century theorists who discuss classic music in terms of rhetorical function it is because the beginning has the function of Exordium (to use the term of Mattheson)⁴⁴ while the middle (Propositio) focuses on process, the development of an idea already there. Thus, Allanbrook calls the *exposition* of Mozart's K.332 'a miniature theater of human gestures and actions.'⁴⁵ In his discussion of temporality in music, Monelle also identifies the lack of discernible topics in passages of development. Paraphrasing Riepel he writes that 'when a composer wishes to progress, to cancel the sense of atemporal instantaneous lyricity, she [sic] often turns to material which is semantically empty and conventional, merely scales and repeated notes.'⁴⁶ And in Monelle's view, A.B. Marx's *Gänge* are similarly semantically barren; as he wryly observes 'you do not come away from a Classical sonata whistling the *Gänge*'.⁴⁷ If we follow Monelle's proposition that temporality can be not only a container for music but also the subject of music itself, we come closer to understanding of Adorno's characterisation of this moment from D.944 and of the nature of development in Schubert. It is evident that a Schubertian development is indeed less semantically loaded than an exposition. The

⁴³ Hatten (1994), 98.

⁴⁴ cit. Agawu (1991), 52.

⁴⁵ Allanbrook (1983), 3.

⁴⁶ Monelle (2000), 104.

⁴⁷ Ibid, 109.

developments of the G major quartet D.887 and of the A major sonata D.959 may serve as examples; the former tends towards the purely musical (harmonic-hexatonic play as discussed in 2.2) while the latter is effectively a series of variations on a rhetorical cadential figure. And yet while a classical sonata quits the musical theatre of human gestures for material whose function is simply to move forward, the Schubertian form quits it for material that appears not to develop but to move around harmonic space or to vary repeatedly a small rhetorical figure, indeed one which should have denoted closure. The development of a classical sonata foregrounds forward motion or *Gang*, while that of Schubert foregrounds space and reflection and introversion. Herein lies the connection between the two quotations at the head of this chapter. As Adorno expresses it, the Great C major Symphony development begins with an image of Biedermeier celebration which is glimpsed only briefly before being swept away on the torrent of pure music. In Schubert's allegorical tale, the protagonist turns away from this celebration not in favour of another scene, but for wandering and song alone. In this respect too, the tale resembles Novalis' *Hyazinth und Rosenblüte* in which Hyazinth turns away from home to wander through landscapes which become increasingly barren, which are as devoid of semantic content as a Schubertian development and in which, as Gordon Birrel notes, even the feeling of passing time is eradicated.⁴⁸ Thus, the frequently invoked description of Schubert's music as 'wandering' must be understood positively; it denotes not aimlessness or a lack of structural planning but an inner quest of introversion which begins when music turns its back on home (that which is semantically loaded) in the hope that it will ultimately discover it anew.

In this section we have seen examples of conventional signs and observed that even in cases of signified music or signified silence, aspects of conventionality persist. We have seen that Adorno acknowledges this semiotic aspect to Schubert's music, although he is reluctant to interpret music as a semiotic system. The breadth of meaning which Adorno ascribes to Schubert's music ranges from bourgeois sentimentality to the mystical, symbolic and obscure. The lighter side of Schubert's musical personality may be understood as a function both of the types of topics which appear and the troping of particular ones, while more enigmatic and immediate gestures can be understood as having origins in more conventional (symbolic) or

⁴⁸ 'Time as articulated by days, years, or distinct periods of growth begins to dissolve into indefiniteness.' Birrel (1979), 66.

iconic signs; later Romantic symbolic music abandons its link to the phenomenal world and turns inward in the manner described by Agawu. This constitutes an aspect of semiotic growth which is both apparent within the evolution of Schubert's own musical language and which characterises the development of common practice music as topics become conventions which exist only to be subverted or used ironically. Finally we have discussed the nature of musical topics per se; what they are, what their 'ingredients' are, how they interact, and how they become meaningful. In the case of Schubert we have seen that the consistency with which signs of closure remain unfulfilled contributes in part to the characteristic feeling of timelessness and that the development which remains classical (in its semantic indeterminacy) becomes Romantic in its tendency to eschew forward motion in favour of Romantic wandering. Most importantly for this project we have established a framework within which we can discuss this evidently important pillar of Schubert's musical language.

2.5 Musical Meaning in Schubert

I concluded the opening section of this chapter with the observation that the separation of Schubert's music into its formal, rhythmic, semiotic and hermeneutic components is both methodologically advantageous and, at the same time, clearly extremely artificial. From the vantage point of having reviewed three of these aspects of Schubert's music, we are in a better position to demonstrate the nature of this artificiality. Our study of Beach's analysis of the B section of the second movement of the String Quintet D 956, shows us how form arises from techniques of phrase expansion, which is to say that form can be studied in terms of its large scale rhythmic qualities. Equally, certain lower level rhythmic gestures – the dactyls of 'Der Tod und das Mädchen', dance rhythms etc. – suggest conventionalised topics, which is to say that rhythm can have semiotic qualities. As Agawu shows us, topics are grounded in their rhetorical functions as beginning, middle and end types which they serve both to affirm and deny; semiotic aspects of music are dependant on (and create and interact with) their formal contexts.

The artificiality of this parametrical separation is nowhere more clear than when we seek to understand what Schubert's music means. As we have seen repeatedly, to suggest that form, rhythm and topic cannot be meaningful could not be further from the truth; the hermeneutic aspects of Schubert's music arise from *all* of these others. The experience of Schubertian form is likened by Adorno to the journeying through a landscape within which similar events are seen through different perspectives. Schubert's rhythmic development may suggest the thawing of the wanderer's frozen heart, may determine the mode of speech (song or recitative), may set certain moments of crisis or repose in relief from their surroundings, as in *Der Neugierige* and *Wanderers Nachtlied*, or may heighten an underlying sense of unease as felt for example in *Im Dorfe*. By contrast the rhythmic shape of the music writ large may create the sense of timelessness felt in passages where periodicity is stretched and virtually destroyed. Topics and more localised Peircean signs (examples of these from our study of Schubert include horn calls, wind, bells, brooks, musical instruments etc.) are more clearly concerned with musical meaning. On a larger scale, however, they combine to suggest either a plot (for Agawu) or an expressive genre (for Hatten) which both creates an expressive context within which to understand individual instances of them (the counterpart to Agawu's own formal-

rhetorical one) and can also give us some idea of what the piece as a whole may be 'about'.

Upon reading Adorno's critique of Schubert, we uncover a certain ambivalence as to what the expressive qualities of Schubert's music are. On the one hand, there is the Romantic transcendent Schubert who we reach after climbing from the blasted abyss of late-style Beethoven; the progression from the final year of Beethoven to that of Schubert is itself likened to a physical journey.¹ Furthermore it is certainly no accident that Adorno describes Schubertian form in terms of landscape metaphors; the expressive qualities of landscape painting and poetry for the Romantics cannot be underestimated. As we have seen, Schubert's music, for Adorno, lies between Romantic symbol and Benjaminian allegory. The music is by no means lightweight or unthinking, for it engages critically with that which has come before, and only in this context does it become meaningful.² For Adorno, the timelessness of Schubert's music anticipates the constancy of the eternal.³ And within this context we may understand Schubert's trouble in writing the triumphant finale. 'An enthusiastic dilettant does not falter in the face of closure, but the question from 'Tartarus' [Schiller's 'Gruppe aus dem Tartarus' set by Schubert as D. 583 appropriately following two previous incomplete attempts] "if there is still not an end" ["*ob noch nicht Vollendung sei*"] prevails far and wide across Schubert's terrain and, faced with it, music falls silent.'⁴

On the other hand there is a baser side to Schubert's musical personality which appears to be equally important for Adorno's critique. Schubert's music has a notable affinity with Biedermeier 'Verkitschung' [turning into trash] which makes him particularly suitable as a subject for the sentimental play *Das Dreimäderlhaus*. For Adorno the music is formed from a potpourri of themes which do not hold together organically like the music of (mid-period) Beethoven. Its often rustic quality shows itself in topics such as the beginning of the Great C major Symphony development. And far from transcending bourgeois reality, his military marches and dances of the 'inadequate' four-hand piano music comes so close to empirical reality that the music

¹ See esp. the opening of Adorno's critique (1982), 18.

² Recall the double meaning of the word '*krystallinisch*'. Ibid., 29.

³ '*Beständigkeit des Ewigen*', Ibid. 32.

⁴ Ibid. 28.

almost ceases to be artistic; rather Schubert revels in the unmediated utterance, in music which appears banal and drunken.⁵

There are certain problems with describing Schubert in terms of its Romantic and Biedermeier traits. The first is that there is no clear cut separation of different types of music. Adorno continually oscillates between describing these idealistic and banal extremes of Schubert's musical language. As we approach one we suddenly find ourselves in the other; in Adorno's words 'Schubert is never more distant from the world than where he refers to it.'⁶ As we investigate the opposition of the Romantic and the Biedermeier, we will see that the two are inextricably intertwined. The second problem is one of origins. The very titles of two of Rosen's books reflect the general assumption that while it is possible to discuss the Classical period in terms of a homogenous *style*, the linking factor of so called Romantic composers is more ideological. Consequently the term 'Romantic' is an aesthetic construct and not a stylistic one, and by extension there is no such thing as a Biedermeier style of music to which a Romantic one might be opposed. Dahlhaus asserts, however, that while the origin of musical Romanticism is aesthetic, the origin of the term Biedermeier is social and cultural. A musical Biedermeier is determined by the *institutions* which give rise to it.⁷ Hence Dahlhaus's problem of origins leads us to the conclusion that in examining the Romantic and the Biedermeier in music, we are not comparing like with like.

Given that the Biedermeier for Dahlhaus is primarily a cultural phenomenon, we would do well to investigate the cultural ways in which it manifested itself. Like so many terms which have been formulated to classify periods of artistic activity, the origins of the term 'Biedermeier' were initially pejorative in intent; given the socio-cultural bias to this term which Dahlhaus notes, it is clearly no accident that the term originally described a stereotypical bourgeois man. Gottlieb Biedermeier was the name of a comic-book figure invented around the mid-century to satirise the recent past;⁸ according to Hanson, 'the character epitomized the self-confident, smug

⁵ Ibid. 32.

⁶ Ibid. 33.

⁷ Dahlhaus, C., 'Romantik und Biedermeier - Zur musikgeschichtlichen Charakteristik der Restaurationzeit', *Archiv für Musik Wissenschaft* 31/1 (1974), 22-41

⁸ Himmelheber, G., *Biedermeier 1815-1835: Architecture, Painting, Sculpture, Decorative Arts, Fashion*, trans. Gabriel, (Munich 1989). The character was invented by Adolf Kussmaul and Ludwig Fischrodt and introduced to the public in 1855 in the Munich *Fliegende Blätter*. Nemoianu, V., *The Taming of Romanticism: European Literature and the Age of the Biedermeier* (Cambridge Mass., 1984), 3-4.

middle-class man and [the term] was soon thereafter applied to the outlook and art of 1815-48 in Germany and Austria.⁹ Certain types of musical activities and organisations were particularly characteristic of this period. These included music societies such as the *Gesellschaft der Musikfreunde*, the aristocratic salons of figures like Karoline von Pichler, and the music making of circles of artists such as the Schubertiade (which for Dahlhaus was a typically Biedermeier phenomenon). Beneath this bourgeois conviviality however, post-Napoleonic Vienna was a place of poverty, squalor and political repression. The well-documented poor living conditions of Schubert's family were quite typical of the time, as was the high rate of infant mortality; of the fourteen children in their household, only four survived through infancy. References to war and Vienna's occupation are extensive in Deutsch's early Schubert documents, as are echoes of the censorship and close police scrutiny of social and artistic activities which ensued in Metternich's police-state. If Biedermeier art celebrated the simpler comforts of home and hearth, it was tinged with a sense of unease, for the bourgeois Viennese evidently had little to be thankful for.

And yet despite the uncomfortable social background to the Biedermeier period, a certain image of the artistic activity of the time persists. Discussing the reception of 'Biedermeier' literature, Virgil Nemoianu writes that critics 'seemed to agree that the writings of the period . . . had a number of common features: inclination towards morality, a mixture of realism and idealism, peaceful domestic values, idyllic intimacy, lack of passion, cosiness, contentedness, innocent drollery, conservatism, resignation.'¹⁰ To this list, Dahlhaus adds the associations of narrowness (*Enge*), conviviality (*Geselligkeit*), and enthusiasm for education (*Bildungseifer*).¹¹

Dahlhaus makes a number of points about the Biedermeier in music which are worthy of attention. We have already seen that, for him, the Biedermeier is a socio-cultural concept, while the Romantic is an aesthetic one. This reflects a tension characteristic of the first half of the nineteenth-century, and one which is still implicit today: that the ideals of its music do not fit well with the major musical institutions (choral societies, *Liedertafeln* and bourgeois theatre) of the time. As Dahlhaus puts it, 'neither are the institutions bearers of prevailing ideas, nor are the ideas a function of

⁹ Hanson, A., *Musical Life in Biedermeier Vienna* (Cambridge, 1985)

¹⁰ Nemoianu, V (1984), 3-4.

¹¹ Dahlhaus (1974), 22.

the prevailing institutions.’¹² Dahlhaus also notes that the term ‘Biedermeier’ as applied to composers is often used interchangeably with *Nebenromantiker* (secondary Romantics) or *Kleinmeister* (lesser masters). Taking these terms to be synonymous, Dahlhaus asks: if we do not allot Mozart’s less talented classical contemporaries (Pleyel, Gyrowetz etc.) a separate historical period, then why should we do so for the Spohr’s and Lortzing’s of the nineteenth century?¹³ Perhaps Dahlhaus’s most insightful observation is that Biedermeier music is characterised by compromise; its aim is to mediate between compositional ideals and the limitations of institutions which will perform the music. Composers such as Spohr, Loewe and Mendelssohn ‘sought to mediate between technical simplicity and a high level of cultural breeding.’¹⁴ As I noted previously, Dahlhaus is also rather loathe to identify stylistic traits of Biedermeier music; if musical Romanticism is a question of ideology rather than stylistic homogeneity, then why should its poorer cousin be any different? Furthermore, those stylistic features which he *does* identify (regular construction of musical periods and simple large scale harmony punctuated with momentary local chromatic effects) appear to be hopelessly vague. Ultimately he speaks only of a Biedermeier ‘tone’ which has a particular affinity with bourgeois institutions.

If we accept Dahlhaus’ rather loose characterisation of the Biedermeier in music, we may find it a little surprising that he is so emphatic about the status of certain composers as ‘Romantic’, for he writes ‘we have no cause to doubt the rightness of the term “Romantic” that has been applied to Schubert and Weber, Schumann and Mendelssohn for a century and a half.’¹⁵ Indeed this statement is particularly surprising in Schubert’s case because Dahlhaus himself identifies the Schubertiade as a typical Biedermeier phenomenon. Walther Dürr notes that if we consider to be Biedermeier, music which is composed with a social purpose, then the term clearly applies to Schubert’s activity as a composer for the church, the bourgeois theatre, the social gathering etc.,¹⁶ and David Gramit also questions whether it is possible to uphold Dahlhaus’s distinction between institutions and ideas.¹⁷ If the

¹² ‘Weder sind die Institutionen Träger der herrschenden Ideen noch die Ideen eine Funktion der bestehenden Institutionen.’ Dahlhaus (1974), 29.

¹³ Dahlhaus, C., ‘Nineteenth Century Music’ (Berkeley, 1989), 169.

¹⁴ Ibid. 173-74.

¹⁵ Ibid. 169.

¹⁶ Although Dürr places Schubert between Romantic and Biedermeier, he clearly recognises the importance of the institutions for the tone of the work produced. ‘Zwischen Romantik und Biedermeier: Franz Schubert’, in Himmelheber (ed.), (1988), 53.

¹⁷ Gramit (1993), 355.

difference between Romantic and Biedermeier music is difficult to quantify stylistically, then stylistic differences cannot ground Dahlhaus's claim that Schubert is a Romantic composer. Equally this argument is difficult to support on ideological grounds for recent scholarship on the Biedermeier has demonstrated that it is less ideologically barren than Dahlhaus would have us believe. If the Biedermeier does indeed have its own ideological traits, they are perhaps to be found in the writings of Schubert and his immediate circle and may form a suitable backdrop against which to assess his music. Consequently the characterisation of Schubert as Romantic may be more a product of reception history and the canonisation of atypical works which go against the grain of the aesthetics of his circle.

The moral educational imperative plays an important part in Schubert's earlier activity. David Gramit notes two common misconceptions about Schubert's circle of friends. Firstly, there is the mistaken assumption that Schubert played a central role in the circle's activities, an assumption borne of memoirs by his friends who understandably play up the role which Schubert and his music played in proceedings and in their own lives.¹⁸ Secondly, there is the false assumption that the boundaries of this circle were in any way fixed. In reality this circle was subject to much change – change of the central players and accordingly change in their collective ideals.¹⁹ What Gramit shows us is that although it is impossible (not to mention inadvisable) to brand the ideals of this circle Biedermeier, certain notable characteristics of the Biedermeier run through from the circle's inception, to what remained of it in the later 1820s.

The earlier Linz-based circle, led by Anton Spaun and Anton Ottenwalt maintained a strict program of readings of Classics, and for a while produced their own didactic journal, the *Beyträge zur Bildung für Jünglinge*. That the reading of Classics was geared towards the moral betterment of society is beyond any doubt. Gramit characterises this as 'the cultivation of virtue by imitating the example of great men.'²⁰ This thread is reflected not only in the reading program but in the strong moral tone of letters about the activities of the circle's younger members. (Virgil Nemoianu notes that Biedermeier society placed great value on the lessons of society's elders and the hope that youth represents.²¹) It is also clear from the

¹⁸ Gramit (1987), 75-6.

¹⁹ Ibid. 13.

²⁰ Ibid. 44.

²¹ Nemoianu (1984), 14.

documents which Gramit surveys that the emphasis was on the betterment of society through *activity*, rather than through passive withdrawal. Anton Ottenwalt writes for example that 'only activity makes man fresh and happy, only activity is life; doing nothing is the true death of the soul.'²² This activity clearly included artistic pursuits which had moral or didactic functions.

It is clear from the early writings of the circle that music too is a bearer of moral content. Anton Spaun comments that music 'does not imitate the coarse realities of the world, [but] works immediately through the senses to inspire the most noble feelings and intimations of infinite good, beauty and truth.'²³ Although the young Schubert was not as verbose as the older Ottenwalt and Spaun, his early writings clearly echo their tone. He writes the following of Mozart:

As from afar the magic notes of Mozart's music still gently haunt me. How unbelievably vigorously, and yet again how gently, was it impressed deep, deep into the heart by Schlesinger's masterly playing. Thus does our soul retain these fair impressions, which no time, no circumstances can efface, and they lighten our existence. They show us in the darkness of life a bright, clear, lovely distance, for which we hope with confidence.²⁴

If this youthful diary entry on Mozart does not sound singularly unromantic, some of his others certainly do. The older members of Schubert's circle may be better characterised as classical and conservative in their thought than Biedermeier. We often find an inherent distrust of Romanticism's mystical idealism and an objection to what Spaun describes as its 'completely incoherent chaotic longing of the heart' [*die völlig unbestimmte, chaotische Sehnsucht des Herzens*].²⁵ Musically this is reinforced by Salieri's Gluckian influence on Schubert. The writings of Ignaz von Mosel, who himself admits that he is nothing more than an interpreter of Gluck's views,²⁶ may serve as documentary evidence of an aesthetic which will have been strongly influential on Schubert. Mosel too warns the opera librettist against continuous

²² cit. Gramit (1989), 50.

²³ cit. Gramit (1989), 60.

²⁴ Deutsch (1946), 60.

²⁵ cit. Gramit (1989), 69.

²⁶ Mosel (1813), 5.

altering of the *Affekt* depicted, for 'the music, if it were to follow faithfully the quick succession of changes of the poetic expression – as it properly should – would necessarily tend towards incomprehensible chaos.'²⁷ Purity and clarity in the depiction of character are praised; strong intensity of feeling is berated. It is a fitting tribute to Salieri's tutelage that Schubert chose the celebration of his fiftieth year in Vienna to reproach Beethoven for the type of *bizarrierie* 'which joins and confuses the tragic with the comic, the agreeable with the repulsive, heroism with howlings and the holiest with harlequinades, without distinction. . . .'²⁸ It is exactly this irreconcilability of opposites which E.T.A. Hoffmann celebrated in Romantic music,²⁹ and yet this diary entry shows the conservative influence of Schubert's circle and of Salieri and perhaps also of Mosel. Furthermore this entry appears to be worlds away from the later Schubert who in attempting to sing of love, sings of pain.

As Spaun and Ottenwalt became supplanted by Schober, Schwind, Mayrhofer and Kupelwieser, the tone of the circle's activities changed. This is due to a variety of factors. One of these was the change in personalities; characters such as Schober and Mayrhofer were hardly the embodiments of youthful hope and virtue which the Linz circle had envisaged. But outside factors also played an important role too. Metternich's repressive police state viewed such circles and publications such as the *Beiträge* with deep suspicion; the arrest of Schubert's friend Senn in 1820 is but one symptom of the pervasive atmosphere of distrust. It is also true that many of the circle's youthful idealists became hard-working bureaucrats with little time or inclination for their earlier ideals.

The main difference in aesthetic stance for Gramit is of the role which art played in the schemes of the circle. For the early circle it held a didactic and utopian function. Its role was to educate and improve society through its own goodness and morality and Schubert's own comments on Mozart affirm this. The purposes of art for Romanticism, on the other hand, were much greater. For Schelling, art and philosophy were the only means by which man could gain knowledge of the Absolute. For Novalis, art could lead to a return to the golden age of mankind which existed

²⁷ '[weil] die Musik, wenn sie den zu schnell aufeinander folgenden Abwechslunen des poetischen Ausdrucks getreu folgen will - wie es denn ihre Pflicht ist - nothwendig zum unverständlichen Chaos werden muss'. Ibid. 20.

²⁸ Schubert's diary entry for 16th June 1816, cit. Deutsch (1946), 64.

²⁹ 'Only in the genuinely romantic do the comic and tragic combine so naturally that they blend as one in the total effect...' Hoffmann, E.T.A. 'The Poet and The Composer', in Strunk (ed.), *Source Readings in Music History* (London, 1952), 789.

before the corrupting influence of enlightenment rationalism. In contrast, the role of art for the Biedermeier was much more limited; as Gramit sees it art provided mankind with a means of escape from the harshness of everyday life. Schubert's settings from Mayrhofer's *Heliopolis* poems strongly epitomise this tendency.³⁰ Heliopolis, the city of the sun to which the traveller of the fifth song turns, is the realm of art which offers him hope and refuge where society offers neither. Although in some respects *Heliopolis* echoes certain contemporary Romantic themes, it is shorn both of Romanticism's *Sehnsucht*, and of the optimism of the early circle that art would ultimately better society. Schubert's own poem *Klage an das Volk* expresses a similar sentiment.

Nur Dir, o heil'ge Kunst, ist's noch gegönnt
 Im Bild die Zeit der Kraft u. That zu schildern,
 Um wenigens den großen Schmerz zu mildern,
 Der nimmer mit dem Schicksal sie versöhnt.³¹

It is clear that the Biedermeier shares certain themes with Romanticism, in particular the hostility to society and the redemptive role of art. Virgil Nemoianu holds that the Biedermeier is a tamed form of Romanticism. Effectively he sees the Biedermeier as a phenomenon resulting from high Romantic thought collapsing under its own weight. 'The core of the Romantic model and purest form – the possible-impossible expansion of the self to a seamless identification with the universe – is unstable and explosive. . . . The brew does not age well, not because it is too weak, but because it is too strong.'³² This is not to imply that the Biedermeier is simply a response to the collapse of a prevailing ideology. Like Dahlhaus, Gramit and indeed most scholars of the Biedermeier, Nemoianu sees it also as a result of social and cultural history. 'The central concern of the period,' he tells us, 'seems to be how to preserve the hope for a regenerative change in history while taking into account defeat

³⁰ Gramit, D., 'Schubert and the Biedermeier: The Aesthetics of Johann Mayrhofer's "Heliopolis"', *Music and Letters* 74 (1993), 355-382.

³¹ [Only to you, O sacred art, is it still granted to depict in images the time of power and deeds, to soften a little the great pain that can never reconcile that time with our fate] Trans. Gramit, *Ibid* 365.

³² Nemoianu (1984), 27.

and limitation.³³ Confronting Dahlhaus's institutional characterization of the Biedermeier head on, Nemoianu seems to see it as an outgrowth of both the social *and* the intellectual strands of history.

So far our characterisation of the Biedermeier has focussed on the function of the artwork as providing escape from reality rather than seeking to alter or transcend it, and on the social conditions which gave rise to the need for this escapism. (These are indeed the main themes of Gramit's argument.) If, as Nemoianu suggests there is an intellectual basis for the Biedermeier, one which is related to Romanticism as a tamed version of it, then what are the characteristic features of a Biedermeier artwork?

The narratives of high Romanticism have a tendency to be grandly allegorical in scope. We see this clearly in the poems and *Märchen* of Novalis. These often involve a triadic progression from naïve innocence, through estrangement and wandering, towards a transfigured return home, a return which is precipitated by or associated with art. The essay *Die Christenheit oder Europa*, for example, provides an explicit account of history as moving from a golden age which represents the original union man once held with nature, through a period of disunity brought about by the spirit of rationalism and the lack of a true religion, towards a new golden age in which man and nature can be reunited through art.³⁴ Abrams conceptualises this progression not as a cycle but as a spiral; 'when the process reverts to its beginning the recovered unity is not, as in the school of Plotinus, the simple undifferentiated unity of its origin, but a unity which is higher, because it incorporates the intervening differentiations It thus fuses the idea of the circular return with the idea of linear progress, to describe a distinctive figure of Romantic thought and imagination – the ascending circle, or spiral.'³⁵ And typically for Abrams, this Romantic spiral constitutes a particular secularisation of the Christian plot of unity – fall – redemption.

In contrast, Biedermeier narratives are comparatively limited in their scope. According to Nemoianu, they may have a similar design to those of Romanticism but the progression is from stability, through instability, back to stability.³⁶ Effectively Biedermeier narratives compress the spiral of Romantic consciousness onto a narrow plane on which the only goal is preservation or regaining of an opening domestic

³³ Ibid. 40.

³⁴ Novalis (1981), 526-544.

³⁵ Abrams, M.H., *Natural Supernaturalism* (New York, 1971), 183-4.

³⁶ Nemoianu (1984), 166.

peace and harmony. To express this, Nemoianu coins the phrase 'secularisation of a secularisation'.³⁷ And it is not only the structure of the narrative which becomes limited; the thematic content too becomes tamed. The narratives of high Romanticism treat mystical and elemental themes; even the characters of an unassuming *Märchen* are symbolic of greater things. For the Biedermeier narrative, themes were lowered to the realm of the possible;³⁸ the only type of harmony which art may be seen to portray is a micro-harmony, that of family and home.³⁹ Supernatural and magical or otherworldly themes may encroach on this domestic bliss, but ultimately they are defeated, laughed at, or revealed as illusory; indeed Schubert's first opera *Des Teufels Lustschloss* on a libretto of Kotzebue does all of these things and bears the description 'Naturliches Zauberoper' which implies that all that appears supernatural will be revealed as natural. In some respects, the opposition between Romantic and Biedermeier is similar to Schlegel's higher and lower allegory. While higher allegory concerns the infinite, the unconditioned, or the ideal, lower allegory concerns the general, the real and the worldly. Its use is explanatory or didactic (in a manner clearly reminiscent of Dahlhaus' Biedermeier *Bildungseifer*) and it is summed up by Starr as meaningless in itself, rationalised, artificial and mechanical (as opposed to organic).⁴⁰

The conflicting world views of Romanticism and the Biedermeier are nowhere more apparent than in their opposed treatment of the themes of landscape and nature. Thus, for Abrams, Wordsworth inherited and developed a tradition of finding moral and theological meanings in the aesthetic qualities of the landscape,⁴¹ a tradition in which the Beautiful in the landscape is an echo of God's benevolence, while the Sublime is an intimation of His omnipotence, power and wrath.⁴² But the landscape which Wordsworth describes is also one which echoes the dividedness of the poet's own mind, and the progression towards its ultimate salvation; as Nietzsche expresses it 'the whole drama of fall and redemption is acted out in yourself.'⁴³

³⁷ Ibid. 29.

³⁸ Ibid. 29.

³⁹ Ibid. 191.

⁴⁰ 'Zusammenfassend könnte man also Schlegels Theorien dieser niederen . . . Allegorie mit folgenden Stichworten charakterisieren: Bedeutungsmangel, Rationalisierung, Künstlichkeit (artifice) und Mechanismus.' Starr (1964), 55.

⁴¹ Abrams (1971), 102.

⁴² Ibid. 101.

⁴³ cit. Ibid. 121.

Romanticism's view of the landscape also echoes its characteristic delight in the irreconcilability of opposites; subject/object, ego/non-ego, mind and nature. Paul de Man observes this trait in passages from the works of three writers: Rousseau (who intentionally blurs the order of the seasons and the laws of geography), Wordsworth (who writes for example of 'the stationary blast of waterfalls'), and Hölderlin (whose 'Hyperion' expresses such contradictions as '*helle Nacht*' and '*liebende Streit*'). In these examples 'the inner tension of earthly objects' finds poetic expression.⁴⁴ In one of Novalis' *Märchen* from the fragmentary novel 'Heinrich von Ofterdingen', such a synthesis of opposites takes place when the musician Arion plays his otherworldly music to rescue himself from his worldly strife. 'The whole ship rang with it and the waves resounded, the sun and the constellations appeared in the sky, and out of the green waters emerged dancing hosts of fish and sea monsters.'⁴⁵ This echoes Wordsworth's praise of the faculty which gives him access to the new synthesis of man and nature's inherent conflicts – 'imagination'. Furthermore it foregrounds the role which art, in this case music, plays in bringing about such a synthesis.

One of the particular conflicts which the Romantic landscape encodes is that between time and space. Romanticism plays with evocations of time and space, expresses each metaphorically in terms of the other, suspends time, contracts or explodes space, and ultimately seeks to dissolve both. Alois Jetteles wrote for example:

Romanticism is different; it destroys all space and all time and all other limiting relations of perception; it presses into the farthest distance, its life is longing, intimation of the Absolute (love).⁴⁶

Novalis too wrote 'night's dominion knows neither time nor space'⁴⁷; for him, the new Romantic age is expressed as the kingdom of the night. Prior to the dissolution of the two dimensions, landscape (space) becomes imbued with the qualities of time.

⁴⁴ De Man, P., *The Rhetoric of Romanticism* (New York, 1984), 14.

⁴⁵ 'Das ganze Schiff tönte mit, die Wellen klangen, die Sonne und die Gestirne erschienen zugleich am Himmel, und aus den grünen Fluten tauchten tanzende Schaaren von Fischen und Meerungeheuern hervor.' Novalis (1981), 258. trans. Hilty (1959), 34.

⁴⁶ 'Anders ist es mit der Romantik; sie vernichtet allen Raum und alle Zeit, so wie jedes andere beschränkende Verhältniß der Anschauung; sie dringt in die fernste Ferne, ihr Leben ist Sehnsucht, Ahndung des Absoluten (Liebe)' cit. Gramit (1989), 337.

⁴⁷ Novalis (1981), 153, trans. Haywood (1959), 58.

As Rosen shows, this allowed Schiller to liken music positively to idealised landscape painting or poetry. Both are without specific subject matter and convey feelings (in Schiller's classicist aesthetic) through their form, rather than their content. The complex sense of time invoked by landscape is epitomised for Rosen by the Abbot Aurelio di Giorgio Bertola's *Picturesque and Sentimental Voyage on the Rhine*, in which the microcosmic real time of a journey is conflated with the macrocosmic geological time of the scene surveyed.⁴⁸ A similar passage from Georg Forster⁴⁹ shows that both are conceived as process; the landscape which is moved around bears the traces of past geological processes. It should now be evident that the landscape of Adorno's late Beethoven, and indeed that of Schubert, belongs within a long tradition of describing music in terms of landscape's double time-scale. On the one hand there is the time scale of the journey around the landscape, on the other the trace of past processes conveyed by the adjective '*versteint*'; often translated as 'petrified', the German rendering better expresses the idea of process: having turned to stone. In Adorno's metaphorical landscapes, as in Bertola's landscape poetry, space is not the alternative to time; rather it creates a specific notion of time. As Michael Spitzer puts it, 'given that we typically conceptualize time either as "motion through space" . . . or as a "landscape" through which we ourselves move . . . we can imagine music as either 'moving' past us or as a structure which we navigate.'⁵⁰

If Romanticism views landscape and nature as allegorical of the divided mind, as a place in which to revel in irreconcilable oppositions, and as a realm in which worldly understanding of space and time becomes dissolved, the Biedermeier view of landscape and nature is altogether much simpler. Nature is celebrated for what it is; the goal of landscape painting becomes verisimilitude. The complex sense of time is suspended; even time itself is suspended in favour of motionless tableaux. Rather than mystical symbolism, we see simple depictions of pastoral country life or even smirking parodies of it. Himmelheber observes that some of the favourite motifs of Biedermeier painters were 'flower arrangements in vases, freshly picked wildflowers, or bouquets made up of only a single variety, gathered in the garden,'⁵¹ a very literal example of Nemoianu's tamed or domesticated Romanticism. Depictions of nature in

⁴⁸ Rosen, C., *The Romantic Generation* (Harvard, 1995), 135 ff.

⁴⁹ cit. Ibid. 139 ff.

⁵⁰ Spitzer, M., 'The Metaphor of Musical Space', *Musica Scientiae* 7/1 (2003), 101-120.

⁵¹ Himmelheber (1988), 33.

painting and poetry often invoke the sense of escapism which Gramit identifies in the *Heliopolis* poems and which is an underlying function of Biedermeier art in general.

We need only compare a typical Biedermeier landscape painting with a typical Romantic one to see some fundamental differences. Kobell's 'Alpine Meadow' (Plate 1) shows a scene of rustic domesticity without motion or narrative. The mountains fade into the background while the human subjects simply go about their daily life. Friedrich's wanderer (Plate 2) contemplates a scene which typifies the irreconcilability in nature observed by De Man; sky, mountain and 'sea' become perplexingly confused as the figure contemplates the immeasurable breadth of sublime nature. Himmelheber notes that Biedermeier landscapes are typically unframed by natural objects but instead are simply cut off around the edges as if the painting is a snapshot of how the scene really is.⁵² Friedrich, on the other hand, often expresses the subjectivity of landscape by placing a human subject in the foreground, lost in the enormity of what he sees and often frames the scene with trees, window frames, rainbows, ruins. Just as the fragment, that characteristic form of Romantic expression seen in Schlegel and Novalis, recognises that 'man's experience of reality is incomplete [and that] the goal of art is to stimulate men to strive to overcome that incompleteness,'⁵³ the landscape of Friedrich conveys the sense of fragmentariness which that of Kobell fails to acknowledge.

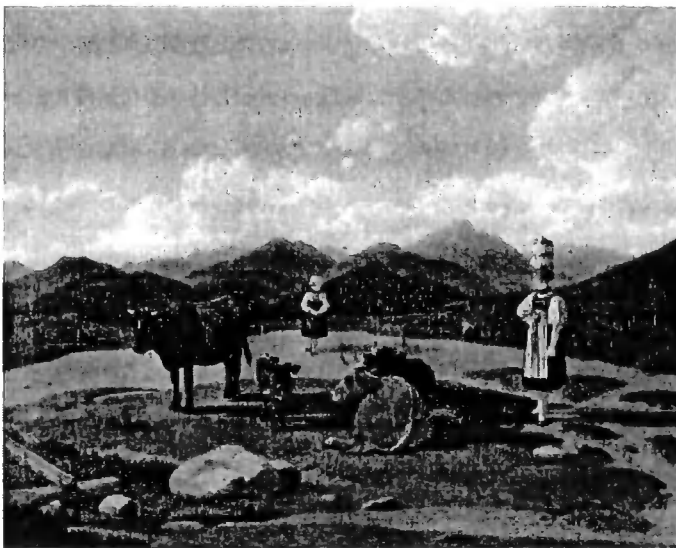


Plate 1: Wilhelm von Kobell, 'Alpine Meadow', 1829



Plate 2: Caspar David Friedrich 'Der Wanderer über den Nebelmeer' c.1818

⁵² Ibid. 33.

⁵³ Wheeler (1984), 15.

The incompleteness of the fragment is an aspect of Romantic irony. For the Romantics while *Ironie*, *Witz*, and *Humor* had their own distinctive meanings and connotations, it is consistently held that true irony was, as Tieck expressed it 'through and through positive'.⁵⁴ Romantic irony referred variously to the author's detachment from the work over which he maintains control, to the ability to see unity in a work without dissolving or reconciling opposites, to the tendency for a work to strive for the infinite and yet acknowledge the impossibility of reaching it and to the characteristic *Illusionstörung* in which a work of art refers to itself and acknowledges its status as art.⁵⁵ Novalis' meditation on language *Monolog*, a prose fragment in which he delights in the impossibility of writing speaking of anything other than itself, is thus supremely ironic in this Romantic sense; it attempts to describe the nature of language and yet must do so *in* language. Insofar as irony is normally the negation of what is asserted in a proposition, Romantic irony is the negation of an assertion but not in favour of a determinate contrary assertion.⁵⁶ Faced with fragmentary paradoxes, the reader must become a 'fellow labourer';⁵⁷ Romantic irony works to draw the reader in.

If Romantic irony is a positive description of the artist's capacity for self-criticism and infinite reflection, of the ability to revel in and leave unresolved the oppositions and paradoxes which were pervasive characteristics of human experience,⁵⁸ then Biedermeier irony is its negative counterpart. According to Nemoianu, irony in the Biedermeier novel is pessimistic and debunking; it revels in the grotesque and the tragicomic and often makes Romantic mysticism the object of its humour. While Romantic irony points towards something beyond itself, Biedermeier irony 'points towards nothing.'⁵⁹ This less potent form of irony arises too from the collapse of high Romanticism's greater purpose, for as the search for a discoverable unity begins to appear unviable, so does the positive potential of Romantic irony; all that remains is smug debunking humour and narratives of the purely human.

⁵⁴ cit Ibid, 22.

⁵⁵ Ibid. 19-28.

⁵⁶ Bowie (1997), 69.

⁵⁷ Wheeler (1984) 11.

⁵⁸ Ibid. 8.

⁵⁹ Nemoianu (1984), 35.

We can now see that Biedermeier and Romantic art are not separate types, rather the former is the outgrowth of the latter as a tamed version of its higher ideals. Consequently, Biedermeier art often relies on treating similar themes but in its own unique ways. We have seen this for example in the conflicting treatments of landscape and nature as well as in the idea of the *Natürliches Zauberoper*; both nature and the supernatural remain themes but their potency is subverted in deference to the simpler bourgeois narratives which they support. German opera is indeed a perfect showcase for discussing these opposing trends. Mark Doerner, for example, has successfully argued that Weber's *Freischütz*, far from being a typical early Romantic opera, is actually a Biedermeier morality play in which the supernatural (and the more progressive musical devices which support it) encroaches on domestic stability, but is ultimately banished.⁶⁰ Thus Warrack speaks of Weber 'opting for primary colours with which to depict his characters.'⁶¹ He describes the opera as a whole as a curve from light, towards darkness (climaxing in the *Wolfsschlucht* scene) and rising into light again. Although the plot involves an external supernatural influence, the natural and the supernatural never quite meet, and the fundamental melodramatic actions which drive the plot onwards are essentially human ones. By way of contrast, the trajectory of E.T.A. Hoffmann's *Undine* is from the supernatural (Undine arrives from the sea), towards the natural (Undine sings a Romanze, a characteristic act of human narration, following which she accuses her human rival Berthalda of being soulless) towards a Romantic transcendent outcome (the *Liebestod* conclusion of the opera) in which opposites unite (land and sea, Huldbrand and Undine, conscious man and unconscious nature). To recall our earlier comments on Biedermeier and Romantic narratives, both may return to the beginning, but a Biedermeier narrative recaptures social stability, while a Romantic one seeks transcendence in this return.

While the Biedermeier version of the Romantic narrative is tamed and reduced in scope, we often find that there are disturbing tensions unresolved; the threatening or problematic elements are dissipated but never entirely go away. We see this, for example, in the uncomfortable resolution of *Freischütz*; Samiel tells Kaspar that one way or another he is going to claim his victim and in claiming Kaspar he gets his way and looms ever present as a threat. In the Biedermeier tableaux of Kobell, Plate 1 above, the Romantically sublime mountain range looms in the distant background of

⁶⁰ Doerner (1990).

⁶¹ Warrack, J., *Carl Maria von Weber* (London, 1964), 226.

the pastoral idyll. Even the notion of Biedermeier art as pure escapism is an admission that redemption of social ills through activity (such as that of the Linz circle) is doomed to failure, a feeling which tinges that escape with sorrow akin to that felt at the suicide of the protagonist of *Die schöne Müllerin*. Alternatively the Biedermeier narrative may resolve in a happy ending which is too quick to be truly convincing, while Biedermeier irony, as observed by Nemoianu, is smug, and debunking, but often grotesque and tragicomic.

We now turn to consider the important question of how a Biedermeier tone manifests itself in Schubert's music. Following Adorno's lead and Dürr's statement on function, we could reasonably brand as Biedermeier all those pieces which are composed for the function of Bourgeois musical activity; four hand piano works, (particularly those composed for the purpose of teaching at Zselitz), collections of dances, balladry composed for acting,⁶² and many of the lieder are better understood with their function (*Trinklied*, Hymn of praise for an elder etc.) in mind. But more significantly those works which in some way deal with the act of music making are perhaps more genuinely Biedermeier. We might think instinctively of lieder such as *An die Musik*, or 'Pause' from *Die schöne Müllerin*, works in praise of music and the solace it brings. There are, however, other acts of singing which evoke the feeling of bourgeois music making, such as the 'Ständchen' from *Schwanengesang*. Even textless music may create this feeling. Thus Anselm Hüttenbrenner's *Erlkönig Waltzes* may be understood as Biedermeier, not only because they are a tribute to a well known song – music in celebration of music – but also because they appropriate the dance-like qualities of the original and render the spectral Erlking more tangibly and unsettlingly human.⁶³ Indeed a satirical poem written in the *AmZ* on the publication of these miniatures expresses some disquiet both at treating Goethe as the subject of a dance and at expressing 'the spirit's dread world' in this manner.⁶⁴

It need not only be entire works which express a Biedermeier tone. The troping of topics within a work (as discussed in 2.4) can equally well create this sense. Although he does not label it Biedermeier, Hatten refers to the troping of pastoral (slow harmonic rhythm, subdominant emphasis and simple texture) and hymn in the

⁶² A quartet performance of *Erlkönig* is recalled from 1819. Deutsch (1946), 122.

⁶³ The clearest example of a dance topic in the lied itself is actually a 'Contredanse'; by making the Erlking waltz Hüttenbrenner arguably urbanises him to become a dancing *Biedermann*!

⁶⁴ cit. Deutsch (1946), 179; see also Gibbs ' "Sie wiegen und tanzen und singen dich ein": Anselm Hüttenbrenners *Erlkönig* Walzer wiederentdeckt', *Schubert durch die Brille* 8 (1992), 32-38.

second subject of the Piano Sonata in A Minor, D. 784.⁶⁵ In this example it is not only the religious serenity combined with pastoral cues which evokes up a characteristically Biedermeier response to nature; the *Männerchor* registration also evokes another typically Schubertian act of Bourgeois music making, while the minim-crotchet rhythm recalls the unsettled tragic opening, now tamed. The trio of the third movement of the G major sonata D.894 presents us with an arguably more interesting case. The beginning of it tropes pastoral elements with a music-box Musette. As Hatten observes this subsides into a waltz. While dance topics such as the siciliano and the ländler have clear associations with the pastoral mode,⁶⁶ the waltz does not. Consequently Hatten sees this act of troping as:

a topical allusion to the intimate music-making Schubert shared at the piano with his friends during his evening *Schubertiades*. These social gatherings of dancing, singing, and games promoted an idealized community as a kind of artistic Arcadia and offered a pastoral oasis from the stresses or alienating effects of urban society.⁶⁷

Although the word 'Biedermeier' is missing from Hatten's critique, its pastoral escapism and celebration of social artistic activity is clearly evident. Furthermore the music-box qualities convey another aspect of the Biedermeier. At around the time in question, ownership of art became possible for the middle-classes as never before. Porcelain and mass produced art is particularly associated with this period and as a result the music box topic resonates with this tamed and domesticated kitsch.

As Gramit has intimated, an aspect of the Biedermeier is escape from the bourgeois into a place of refuge from society, sometimes through allusions to nature or to the pastoral. By way of a further analytical example, we return again to the A₁ Moment Musical. Topically, the well-formedness of the opening eight-bar phrases hints at a classical dance topic, a bourgeois image which is coloured harmonically by attempts to escape or stretch beyond its periodic constraints. The shift towards the tonic minor (♭ ³/₄ /i) affirms this discontent but also provides a harmonic gateway into

⁶⁵ Hatten (2002), 156

⁶⁶ Leonard Ratner observes a long history of pastoral associations of the siciliano ['Classic Music: Expression, Form and Style' (New York, 1980), 15-16] and the rusticity of the *Ländler* from Haydn to Mahler goes without saying.

⁶⁷ Hatten (2002), 162-63.

another realm. Here we witness the type of move which Adorno refers to in the following passage:

The rescue happens in the smallest step; in the shifting of the minor to the major third; so close they are to each other that the minor third appears after the unveiling of the major to be its shadow.⁶⁸

Although Adorno is describing the shift from tonic minor to major, the effect is the same. Out of the sadness of the minor, a new realm is unveiled. The key area is tacked onto the middleground⁶⁹ as an interpolation between $\hat{3}$ and $\hat{2}$, but in terms of topic and phrase rhythm it is vastly different from the well-formed dance of the opening. Topically, we hear music which is clearly pastoral in tone, a suddenly static bass of a drone V followed by a tonic pedal over which the closural gesture sounds characteristically pastoral parallel sixths. In terms of phrase rhythm however, we hear the destruction of the previous order. Bars 1-16 contain a parallel period of antecedent and a consequent which is subsequently repeated. The phrase at bar 17, begins as if the pattern is to be repeated, but its consequent modulates and overflows into a series of phrases whose endings successively overlap, dissolving the well-formed periodicity of the opening in favour of a seamless musical prose.⁷⁰

In the absence of such specifically social or pastoral topics or genres, or other musical celebrations of domestic music making, Schubert's music finds other ways of expressing this feeling of Biedermeier sentimentality. His setting of Castelli's *Das Echo* D.990C provides us with a particularly charming example. The text itself pokes fun at the standard Romantic theme of unconscious nature becoming conscious and interfering in the course of human life. The girl who sings the song claims that she is not responsible for her assignation with a local boy, rather an echo in the valley told her to do go to him, to kiss him, to marry him. Each instance of the echo working its mischief, is set in relief by a fermata and a repetition of the cadence.

⁶⁸ 'Die Rettung geschieht im kleinsten Schritt; in der Verwandlung der kleinen in die große Terz; so dicht rücken sie beide aneinander, daß die kleine Terz nach dem Erscheinen der großen als deren Schatten sich enthüllt.' Adorno (1982), 31.

⁶⁹ See Example 2.3.7 and score Appendix 3.1.

⁷⁰ It is characteristically Schubertian to interpolate a moment of repose at such a point. The association of such a key area with freedom, escape, etc, is seen nowhere more clearly than in *Nacht und Träume* D.827.



Example 2.5.1 a

And yet musically Schubert sets it not on the real crisis point or harmonic crux of chord ii, but simply on the weak Vc – Vc⁷, undercutting the moment's significance, and in so doing diminishing the dramatic importance of the echo itself. It is naturally difficult to attribute Biedermeier qualities to absence of a feature, or to what Schubert *didn't* write, but the example below shows just this – a re-composition of the same passage, shorn of the harmonic and dramatic relief which Schubert ascribes to the moment.



Example 2.5.1 b

Up until this point we have examined only musical features which become meaningful through topical conventions, playing with form, rhythmic devices and combinations of these which result in a characteristically Schubertian tone. And yet the study of Schubert's music frequently reveals a more personal sense of experimentation and invention which does not fall into these categories. Occasionally in song salient motives develop a particular significance which appears to have nothing to do with conventional usage and yet ties in unavoidably with its text. As observed towards the close of Chapter 2.4, this is especially true of late Schubert. For Adorno, such gestures constitute an 'unfigurative and real' [*'unbildlich und real'*] music whose ciphers are unreadable. Kerman identified a similar trait in

Schwanengesang, where gestures which had origins in motivated signs (bells, brooks etc.) take on a more enigmatic and personal meaning. Appropriating Suzanne Langer's term he calls such gestures 'unconsummated symbols', but as Hatten observes this is a central feature of the Peircean symbol in which 'other motivations (iconic, indexical) involved in the origins of that convention have simply been lost.'⁷¹ As Agawu notes, this shift from convention toward abstraction is a characteristic difference between Classic and Romantic musical languages.⁷²

A typical example of this type of personal and unmotivated meaning is to be found in Schubert's setting of Heine's *Der Doppelgänger*. Richard Kurth identifies many examples of musical 'doublings' in this song.⁷³ While he locates these in the ways in which variations of the four-chord 'passacaglia' motive mirror each other, he curiously ignores the actual doublings within the opening instance of the figure itself. The four chords (shown below) are effectively a fourth above a fifth, a third above a sixth, a sixth above a third and a fifth above a third (Example 2.5.2). From the point of view of doubles, this is a mirror image across two axes. The second two chords are mirror image of the first two only upside down (mirrored across the horizontal) and in reverse order (mirrored across the vertical middle bar line). In encoding the idea of the double in musical syntax itself Schubert is not imitating a shape (icon), nor is he utilising a convention (Peircean Symbol). Rather, he is encoding a poetic idea by means of a specifically musical one.



Example 2.5.2

Schubert's music is shot through with such gestures which without obvious correlations (iconic, symbolic, indexical) cry out for interpretation. Schachter observes, for example, the descending tetrachord in *Das sie hier gewesen* which without a physical referent hangs in the air like the perfumed-induced memory of the

⁷¹ Hatten (1994), 294.

⁷² Agawu (1991), 138.

⁷³ Kurth, R., 'Music and Poetry, a Wilderness of Doubles: Heine – Nietzsche – Schubert – Derrida', *19th-Century Music* 21 (1997), 3-37.

beloved.⁷⁴ As previously remarked the opening two note gesture of *Ihr Bild* evoked for Schenker the effect of staring, although for no discernibly conventional reason,⁷⁵ while the opening of the 'Agnus Dei' from the late Mass in E flat D.950 uses the same four note figure as that of Doppelgänger, here interpreted by some as a cross motive (another example of one of Agawu's Romantic unmotivated cryptograms).

Occasionally, however, deeper aspects of structure may provide powerful keys to interpretation. Lewin for example identifies a deliberate ambiguity of mode at the heart of 'Auf dem Flusse'.⁷⁶ At different structural levels it appears that the song is either fundamentally in E major or E minor, a facet of this song's musical personality which reflects the ambivalence of the singer 'ob unter seiner rinde wohl auch so reisend schwillt?' Through aspects of deep structure the song as a whole is truly cast as a question. And if this feature of tonal planning may appear accidental or analytically suspect, Brian Newbould identifies an aspect of compositional design which certainly isn't. In the third number from Schubert's melodrama *Die Zauberharfe*, the beginning and end are note by note mirror images of each other including dynamics and inner parts. Again we are not dealing with a conventional sign or a standard rhetorical device. In attempting to ascertain the meaning of this peculiar and unavoidably deliberate gesture, Newbould suggests that

. . . it might be that the palindrome was for Schubert in this instance a demonic symbol - a product of intellectual manipulations, the wilful reversal of values, as in the "black mass" (the undoing or reversal of normally forward-vectored meaning).⁷⁷

In recent years a number of articles have appeared which discuss motivic and tonal structure in *Erlkönig*. Ann McNamee has demonstrated how salient motives of the piano introduction become central features of the main body of the song, in particular the neighbour note motive D – E_b – D and the passing note motive C – C# – D.⁷⁸ Deborah Stein has continued this investigation to discuss how the attributing of

⁷⁴ Schachter (1999), 209-220.

⁷⁵ See Chapter 2.2.

⁷⁶ Lewin (1986), 143.

⁷⁷ Newbould, B., 'A Schubert Palindrome', *19th-century Music* 15/3 (1992), 207-214; 209.

⁷⁸ McNamee, A K., 'The Role of the Piano Introduction in Schubert's Lieder', *Music Analysis*, 4 (1-2) (1985), 95-106.

keys is mockingly reinterpreted as the basis of the fifth stanza contredanse. By giving the Erlking a presence at the level of motivic appropriation, by mocking the opening piano gesture melodically, and by associating him with the large scale tonal design, Schubert has made the Erlking more than just the puppet of an omniscient narrator as Cone would have us believe. Indeed this accounts for the uncanny presence which Christopher Gibbs attributes to the shadowy character of the Erlking⁸³ and furnishes us with a further example of how idiosyncratic formal devices may play a significant role in establishing musical meaning.

⁸³ Gibbs, C., "'Komm, geh mit mir': Schubert's Uncanny *Erlkönig*", *Nineteenth-Century Music* 19/2 (1995), 115-135.

3. Analysing Schubert's Operas

Our investigation of Schubert's instrumental and lied output so far has examined common critical evaluations of the music and grounded them in the analytical categories which I have designated formal, rhythmic, semiotic and hermeneutic. Through studying Adorno's critique of Schubert we have discovered that these common critical evaluations pertain to coherence, temporality, the conventional nature of some material and the more enigmatic and personal nature of other elements. Our investigation of form has led us to examine the nature of returning or recapitulating material. Adorno's notion that form in Schubert is a matter of perspective has been interpreted in terms of harmony and voice-leading and in terms of altered scoring, melodic line or qualitative change of material. The spatiality (expressed as *Landschaftscharakter* or 'crystalline' music) which Adorno attributes to Schubertian form has suggested a need for an analysis of harmonic transformation which coexists with, but by no means negates, a sense of line. Continually recurring statements regarding temporality (those epitomised by Schumann's 'heavenly lengths') suggested the need to study the music's rhythmic features. In lieder where temporality is itself thematic, we have seen how phrase contraction and expansion can create the feeling of haste and relaxation (*Ganymed*), can reflect retardations of time implied by a poetic text (as *Der Musensohn* comes temporarily to rest) or lend shape to the whole (*Wanderers Nachtlied*). Large-scale phrase expansion can also create a feeling of timelessness and 'over-expansion' in instrumental pieces (*Quintet in C*, slow movement). The semiotic aspects of Schubert's music involve a developing topical language, and a semiotic growth of gestures from musical icons to sedimented symbols; these too may have a bearing on temporality (signs which denote closure remain unfulfilled¹ while those which are less semantically loaded eschew the forward motion of Classical development which they might suggest). Given the importance of recognisable musical conventions for stage works, these are likely to be important in the following chapters. Equally we have observed that Schubert is given to composing either large forms (*Erlkönig* and the *Zauberharfe* palindrome) which are idiosyncratic (i.e. not generic or conventional) musical responses to a poetic idea, or smaller gestures which similarly encode distinctive themes (*Doppelgänger*). Finally we have investigated the expressive range of Schubert's music which on the one hand

¹ c.f. Agawu (1991), 138.

evokes Romantic themes and on the other suggests Biedermeier ones. To this end we have investigated the origins and significance of the term Biedermeier and assessed its possible relevance to music. We have observed certain ideological traits of the Biedermeier: the role of art as escapist, the self-limited trajectory of the Biedermeier narrative, the apparently simpler themes, the opposed treatments of the idea of nature for Romantic and Biedermeier consciousness, and a tendency to reject or mock the grand themes of high Romanticism. At the same time I have discussed some ways in which these themes might be encoded musically. A Biedermeier tone may result from the troping of topics (second group of the Sonata in A minor, D. 784, trio of Sonata in G, D. 894) from a harmonic turn towards a space of pastoral repose (A_b Moment Musical, D.780/6) or from the intentional eschewal of climax (*Das Echo*). While any music conceived with a didactic or social purpose might be deemed Biedermeier,² I have suggested that music which appears to celebrate the *act* of music making (the topical use of a dance miniature or reference to the *Männerchor*) might also have this meaning.³

The four operatic works which form the subject of the following chapters are significant within Schubert's output for several reasons. While those works written up until 1820 may be deemed experimental, the operas from *Die Zwillingsbrüder* to *Fierrabras* were evidently composed with a view to performance. They are all, however, quite different types of work. In *Die Zwillingsbrüder*, music plays a fairly limited role. Action takes place only within the spoken text and thus the numbers are basically character pieces. *Alfonso und Estrella* is completely through-composed and Schubert's music must organise the dramatic content of the work, shape scenes and underscore themes. Although, like *Die Zwillingsbrüder*, *Die Verschworenen* is a one Act Singspiel, Castelli's libretto writes dramatic conflicts into the numbers themselves; thus Schubert's music must respond to these in an appropriate manner. *Fierrabras* has the tone and expansiveness of Romantic opera but uses spoken dialogue to dispense with much of Kupelwieser's text. Thus, when large dramatic scenes are set to music, it is perhaps because the drama lends itself to a musical

² Dürr, in Himmelheber (ed.), (1988), 53.

³ The social and didactic qualities of Schubert's music are evidently pervasive. It is these elements which led to Adorno's remark that '[Schubert's joy] comes close to the lower empirical reality and almost lets itself be used by it, as it breaks away from the realm of art.' ['naht sie der unteren empirischen Realität und läßt sich fast von ihr verwenden, indem sie aus der Kunstregion ausbricht.'] Adorno (1982), 32.

treatment. While by this time Schubert was doubtless more aware of the requirements of stage music, he had also reached a greater compositional maturity and stability of style.

While the primary aim of this thesis is to interpret Schubert's mature stage music within the context of his better-known works, I intend this to be a two-way process. By exploring the use of characteristically Schubertian procedures in dramatic contexts – formal devices, phrase construction and semiotic gestures – we may better understand their hermeneutic implications in 'textless' contexts. The best analysis cannot redeem operas which are inherently problematic; as the reception history of these works has shown only extensive cuts and revisions and imaginative interpretations can begin to do this.⁴ However, given the central position of these operatic works within Schubert's development, I believe that Schubert scholarship must reckon analytically with their content or risk presenting an incomplete picture.

⁴ Waidelich has shown that Liszt's Weimar production of *Alfonso und Estrella* cut vast portions of the work [Waidelich (1991), 41-45]. Furthermore he initially considered substituting a new libretto [Deutsch (1958), 426] and indeed this is exactly what Kurt Honolka did in his 1958 production, which welded Schubert's music together with a play based on Shakespeare's *Tempest* [Waidelich (1991), 51-53]. McKay has suggested that even *Fierrabras* requires serious 'surgery' in order to make it a dramatic success. [McKay (1991), 267.]

3.1 The Twinned Arias of Die Zwillingsbrüder

The first performance of *Die Zwillingsbrüder* on the 14th June 1820 introduced Schubert to the public for the first time as a young opera composer and was widely – if not entirely favourably – reviewed. The general consensus of the various contemporary reviews (cited below) was that the music contained much of promise but was altogether too serious for the comic libretto which it set. The tone of Georg Hoffmann's libretto was typical of the Viennese Singspiel, despite being based on a French model (as were at least half of Hoffmann's plays).¹ The plot is fairly simple and the themes (brotherly and familial love, longing for home, patriotism and duty) are typically Biedermeier, as is the restoration of simple domestic order with which the piece concludes. It would appear that the libretto, if we may call it that, presented Schubert with very little to do. Indeed, the playbill for the original production describes *Zwillingsbrüder* as a 'Farce with Song' [*Posse mit Gesang*], which gives us some idea of the incidental role which music plays in the proceedings. A brief glance at the synopsis² shows us that the music plays virtually no role in shaping the drama, for each number is a closed static piece in which nothing changes or moves forward. The opening and closing numbers are set pieces designed respectively to introduce the scene and round up the *lieto fine*.³ There are two love duets during which the young lovers Anton and Lieschen believe that they are to be married; three ensemble pieces in which the characters express confusion and anger at the latest development; and three solo numbers which are essentially character pieces for Lieschen and each of the twin brothers of the title. Indeed the only real significant challenge open to Schubert was to distinguish musically the two brothers who were to be played by the same actor. Given that *Zwillingsbrüder* is basically a series of character pieces rather than a musical unfolding of dramatic action, it seems appropriate in this section to investigate what means Schubert used to make this characterisation clear.

Michael Vogl, who played Franz and Friedrich Spiess, the contrastingly characterised twin brothers of the title, was criticised for his inability to distinguish sufficiently between the two and while his two arias were generally favourably

¹ Fischer, C., 'Zwillingsbrüder und Zauberwerk: Schuberts unglückliches Theaterdebüt' in Partsch und Partsch (eds.), *Der vergessene Schubert* (Wien, 1997), 52

² Synopses to all operas are given at the end of this dissertation as Appendix I.

³ In this respect, Schubert and Hoffmann's creation belongs in the tradition of the Viennese Singspiels of Weigl and Gyrowetz. Norman McKay, E., 'Schubert as a Composer of Operas', in Badura-Skoda and Branscombe (eds.), *Schubert Studies: Problems of Style and Chronology* (Cambridge, 1982), 85-104; 87

received, the reviewer of the Viennese *AmZ* commented that Franz's fine aria 'can be barely apprehended before it is finished' while that of the gentler brother 'differently handled by the composer, might have moved us even more'.⁴ Josef von Spaun's own recollection of the work immediately following the composers death is somewhat more favourable, but while he comments that Vogl's two arias met with loud stormy applause,⁵ the critic of the Leipzig *AmZ* would have us believe that the cheering parties were primarily the composer's own friends!⁶

More recent commentators on the numbers in question are not much more complimentary, but while they criticise the lack of melody in the first of these, and the failure to evoke the stormy seas in the same number,⁷ they agree on a few key points. Firstly, the numbers serve to underscore the different personalities of the two brothers; Franz as brusque and buffo-like, Friedrich as gentle, sensitive and the typical Biedermann.⁸ Secondly, while Friedrich's number is an aria in ABA' form, Franz sings a two verse Lied (although it is not designated as such). The strophic solo lied in Schubert's operas, and indeed in this case, often denotes simplicity of character, as for example in the manservant Robert's Act I Lied of *Des Teufels Lustschloss*. The contrasting forms of strophic lied and ABA' aria are also appropriate to their respective dramatic functions. Franz, on the one hand, is addressing the village mayor and introduces the number with the exclamation that thunder and lightning are 'Himmliche Musik!' – he literally performs his Lied for the benefit of an onstage audience. Friedrich, on the other hand, soliloquises in an aria which conveys his capacity for inwardness and reflection.

Interpretation of these two numbers is not simply a matter of examining their outer form as some commentators would have us believe.⁹ It is also a matter of examining the musical topics and their treatment, as well as the distinctive voice-leading structures which these solo numbers unfold. Given the idiosyncratic responses which Schubert had both to the idea of the double in *Doppelgänger* later in his career, and to the idea of demonic magic as impossible reversal in his setting of

⁴ Cit. Deutsch (1946), 137, 138.

⁵ Deutsch (1957), 18.

⁶ Ibid. 139.

⁷ Norman McKay, E. *Franz Schubert's Music for the Theatre* (Tutzing, 1991), 153.

⁸ See esp McKay (1991), 153; Citron (1971), 56-7; Wischusen (1983), 569-71.

⁹ Marcia Citron's musico-dramatic study of the seven complete operas is a case in point. She studies only the outer form of the individual numbers, assessing them as open or closed (ternary, strophic, rondo, ABB' etc.) and bases her conclusions about their dramatic function almost entirely on these. Citron (1971).

Die Zauberharfe later in the same year as *Zwillingsbrüder*'s first performance, it would be surprising if the idea of twin brothers were to fail to elicit some distinctive musical response. And indeed this is what we find in the two solo numbers of Franz and Friedrich. The brothers' characters are differentiated textually by their conflicting attitudes towards the idea of nature and these find full musical realisation in Schubert's settings.

Elizabeth McKay criticises Franz's aria for its complete failure 'to create any atmosphere of the sea.'¹⁰ However, the number can be understood as a military Seemann's Lied, underscored by references to a march topic, opening and closural fanfare motifs and rapidly ascending scalar gestures in upper strings and winds; perhaps these latter gestures are intended to be iconic of the lightning, while timpani rolls create the impression of thunder. What is depicted topically is not raw nature itself but a response of man to nature; that is to conquer it and overcome it. The fanfare figure between the two strophes (bb.38-39) arpeggiates a diminished seventh which at this point denies closure. At the end, however, the same gesture (bb.69-ff) emphatically asserts tonic closure – a musical parallel to the sailor steering his ship safely into its port in the face of adversity. This final fanfare arrives after the series of forced upward modulations, the stormy changes of key which were the subject of much criticism by contemporary reviewers.¹¹ Thus musical iconic references to the full force of nature (sweeping bolts of lightning, reminiscent of those used in the opening number of the early Singspiel *Fernando*, timpani rolls and violent *Sturm und Drang* modulations) are pitted against conventionally military topics which signify the full forces of conquering man (dotted martial rhythms, and the fanfare as both a call to arms and as a statement of closure) and the latter emerge from this conflict apparently triumphant.

If Franz's Lied topically pits man and nature against each other, Friedrich's Aria depicts the two in blissful harmony. The overall expressive genre is clearly pastoral for, as we can see, the number exhibits virtually all those attributes which Hatten identifies as characteristically pastoral: compound duple meter, slow tempo, major mode, quiet dynamics, accompaniment moving in parallel 3rds, horn calls and horn-like figuration, constant appoggiatura (often sighing figures), rocking

¹⁰ McKay (1991), 153.

¹¹ The Wiener *AmZ* reviewer writes, for example: 'Herr Schubert is too much wedded to details of the text, and this chases him and his hearer restlessly through modulations and allows of no point of repose.' cit. Deutsch (1946), 136-7.

accompaniment (bb.25-27, 35-38) and constant (often dominant) pedals.¹² The predominantly homophonic string accompaniment also suggests the troping of these pastoral features with a hymn-like topic, suggesting an aria in pantheistic praise of mother earth. There is a narrative dimension to the number which is reflected by a piling on of these topical references. In the middle section, nature comes alive with an ornamented figure in the upper strings which McKay describes as 'delicate bird-song',¹³ while at the modified return of the A section, a low horn pedal is added to the texture in quavers (bb.40ff) while at the upper end of the spectrum, the flute line plays its own 'bird song'.

Topically, Schubert's settings of these numbers build on the themes of nature inherent in the libretto. By musically relating both brothers to nature, albeit in conflicting manners, Schubert's music makes clear the manner in which they are twinned as well as the ways in which they are different. The opposition of homophonic brass figures fanfare and horn call – is it too fanciful to consider this to be an inversion of Beethoven's *Lebe wohl* as Friedrich returns home? – as opening gestures conveniently underscores this point.

A study of the middleground of the two arias provides further food for thought. In certain respects they are widely different, not least because of their contrasting formal designs. As a strophic lied, Franz's aria articulates the same background progression twice, while Friedrich arrives at a half-close ($\hat{2}/V^7$) before resuming with his modified A section. They do however exhibit an underlying structural similarity. Both numbers unfold the progression $\hat{3} - \flat\hat{3} - \hat{2} - \hat{1}$ which they proceed to dramatise in different ways.

The contrasting aspects of the voice-leading profiles of these numbers derive from features of the topical material of each. Put simply, Franz's aria consists of a series of rising gestures, articulated on different structural levels, while Friedrich's consists primarily of falling ones. Franz's number, on the one hand, involves a series of ascending gestures: the rapid scales reminiscent of Gluckian '*Gewittermusik*' (bb.11-12), fanfare figures, and a chromatically ascending crescendo passage over a rumbling pedal (bb.23-29), doubtless intended to be iconic of the rising waves. Friedrich's number on the other hand foregrounds descending gestures: horn calls which primarily seek to resolve downwards, and 'resigned' sighing wind

¹² Hatten (1994), 97-99.

¹³ McKay (1991), 153.

appogiaturas. Out of these contrasting types of gesture arises the basic material of the two numbers.

Melodically Franz's aria is a bit of an oddity. As well as dismissing the number for its failure to evoke the sea, Elizabeth McKay points out that 'the melody, if such it is, is somewhat unmemorable. . .'¹⁴ McKay is quite correct to remark that Franz's line is unmelodic; for most of the aria's duration it appears to be an elaborated bass line. During bars 15 to 20 for example, he simply fills out an ascending 8-5 linear intervallic pattern leading to a point of high tension on ii which he prolongs with its own dominant (bb.20-23) and concludes with a further bass figure (bb.23-24 D' F G C). During the next passage while the winds continue their chromatic ascent unshaped by a bass progression he simply sings a martial figure on a tonic pedal (bb.27-29). (Refer to Example 3.1.1 printed at the end of this section.)

As observed above, the middleground of this number is dominated by ascending gestures. These include the 8-5 linear intervallic pattern which produces a series of chaotic stormy modulations through progressively higher keys and the ensuing chromatic line below which Franz sings his emphatic tonic pedal notes. Any attempt to attribute meaning to these devices is doomed to sound rather trite but the interpretation I would venture is that by assigning Franz to a strongly directed bass line, Schubert wished to impose order on the natural chaos of the rising seas, conveying the sense of successive waves through the series of overlapping gestures in the middle voice, while evoking a general sense rising wind and seas through the chromatic upper line below which the vocal line ends up tenaciously anchored.

Topically, we have seen that Friedrich's aria represents man and nature in harmony. But there unlike that of his brother, there is no drama to this relationship. Indeed if there is any progression at all, it is an inner spiritual one. Perhaps the most immediate clue to the nature of this drama is the closing gesture of the singer's line (bb.53-54; refer also to Example 3.1.2). The closure of the main melodic line has been achieved once already (b. 52) taking the form $\hat{2}/(\Pi_5 - V^7) \hat{1}/I$. It is then reiterated by high winds in octaves, while the baritone line spirals inwards and downwards, paralleling the bass. The turn is remarkably similar to the ending of *Anden Mond*, discussed above in section 2.2, in which the vocal line becomes an inner voice in a sense which resonates poetically with the idea of the 'labyrinth of the

¹⁴ McKay (1991), 153.

breast'. The poetic idea of sinking beneath the surface reflects a physical interment in the case of Franz's aria, for it parallels a rather unsubtle evocation of man's desire to be at one with mother earth, that of Hoffmann's closing line '*hier soll man mich begraben*' ['here they will bury me']. The gradual piling on of topical references to nature, together with this closing figure of a literal descent into the ground, mark out the narrative progression towards home. Even Hoffmann's libretto structures this clearly. The first strophe refers to the child returning to his motherland. The second tells of the landscape of home which arouse in Friedrich heavenly joys and sweet dreams of youth. Only in the third stanza there an emphatic statement arrival with the line '*here they will bury me.*' The trajectory of yearning and arrival is conveyed by a progressive resolution of a pervasive dissonance which is dissolved and assimilated by the point of return. The dissonance in question is that of the dominant 9th, E which heads two phrases is accentuated (*fp* b. 11 then > b.13). At the corresponding phrases in the closing section (b.47 and b.49) the E appears in the vocal line only as a brief consonant skip from C in the first phrase and not at all in that of the second. The long range resolution of this dissonance can be found in the flute line which leads into A' where the 9th unfolds chromatically down to the 7th of the structural V⁷ (b.40). Prior to this important event, the E is still a salient dissonant feature of the middle section appearing as the 9th of V⁹ (b. 34) and the 5th of II⁷b (b.37). This combination of features is a good example of a change of perspective in the sense mentioned by Adorno. The return of the opening material A is not a simple recapitulation. Rather, in the manner of the recapitulations of the slow movements of the last piano sonatas, the meaning of home is altered through the addition of descant and bass pastoral figures, the dissolution of dissonance, and the 'interment' figure which closes the vocal line. Home changes from something which is longed for, to something which has been arrived at.

By far the most significant structural feature of this number is the move in the direction of \flat VI. In a general sense this key is, for Schubert, a conventional indication of a turn inward, perhaps towards something illusory or something remembered but no longer accessible. We might think for example of the middle section of *Nacht und Träume* in which this key represents the intangible world of previous dreams to which the singer wishes to return. It is also the key in which Heine's portrait in *Ihr Bild* appears briefly to come to life, and the key into which the singer of *Du bist die Ruh* wishes to break free. In the case of Franz's aria, the key of E flat stands evidently for

memories, heavenly bliss and dreams of youth which images of nature elicit in the gentler brother.

But far more significant for our reading of this number is the manner in which this modulation is achieved. Following the full closure of section A, B begins (b.19) with an evaded modulation to the dominant nodding first to D major, then to its dominant seventh as if to firmly establish the new key. But a heightening of tension is not what the libretto demands, and instead the progression resolves $V - V_5^6 / V - V_2^4 - I_3^6$. The bass progression which results is one of the falling middleground progressions which characterises the aria as a whole. In decoding a similar gesture in Beethoven, Robert Hatten interprets the progression $V - V_2^4 - I_3^6$ as the suggestion of willed yielding, resignation or 'abnegation':

The stepwise "lapsing" can begin to suggest resignation by way of "yielding". The bass descent also involves a clear reversal of implication – strength of closure is "yielded" by the imperfect authentic move as the strong root "yields" its place to the seventh of the V^7 .¹⁵

If this is indeed true in a context where strong $V - I$ is supplanted by weaker $V - V_2^4 - I_3^6$, then it is all the more pronounced in this Aria for two reasons. Firstly the sense of descent is yet more emphatic – it involves an additional semitone step harmonised with V_5^6 / V . Secondly the implication which is reversed is not simply the move from V to I , but the tonicisation of V itself. The suggestion of V as a new tonic is affirmed both by the immediate use of the secondary dominant seventh, and by its position as the opening sonority of what is evidently a new section.¹⁶

This averted dominant modulation provides the context in which the shift to this illusory key must be understood. For a dramatic shift away from home gives way instead to a key which, elsewhere in Schubert's output, is conventionally associated with a turn towards Romantic introspection and intangible dreams. The shift to the tonic minor which precedes it, eases this transition so that the move of a semitone ($D - E_b$) is as undramatic an event as possible. Furthermore there is little stability to the

¹⁵ Hatten (1994), 57.

¹⁶ The previous full close, instrumental interlude and change of accompaniment figuration all make it quite evident that a new section has begun.

key itself, for the constant dominant pedal (V/ \flat VI, bb.23ff.) not only constitutes another pastoral cue, but also defers firm affirmation of the new key.

As observed above, the two numbers share a major structural feature, that is a progression through $\flat\hat{3}$. The difference lies in the treatment of this moment. In Franz's aria it is just a climactic event over an augmented sixth immediately prior to the conclusion of each strophe (b.34). In Friedrich's aria, however, \flat VI becomes tonicised as an alternative musical space to the heightened drama of $\hat{2}/V$, which is rejected through the gesture of resignation discussed above. As such, Friedrich's aria unfolds as an integral part of its structure a large scale chromatic 'sighing' progression within which are enclosed a variety of smaller scale descending progressions. To enumerate these briefly we find a full middleground descent in the A section (bb.5-17); the avoidance of the dominant via chromatically descending (resignational) bass (bb.19-20); an inner voice descent (bb.35-38); the chromatic unfolding of the dominant ninth back to the seventh (b.40); and the closing 'interment' figure. In Franz's aria however, the resolution $\hat{3} \flat\hat{3} \hat{2} \hat{1}$ is merely a perfunctory gesture of closure; the middleground features which are most prominent are rising ones.

Schubert's main achievement with *Die Zwillingsbrüder* was to make himself known. Although his music was perhaps inappropriate to the comic subject matter, it executes its primary task which is to distinguish Vogl's brothers musically. As we have seen this characterisation arises from outer form (Strophic Lied/ABA' Aria), topic, and hermeneutic implications of voice-leading. But in this opera the scene barely changes and dramatic events and their unfolding consequences are never set to music. The most generous compliment which may be paid to Schubert regarding this opera is that he rose admirably to a very limited task. The compositional requirements made of him by the following three operas were to be much greater.

Example 3.1.1

bar: 1 4 6 7 8 12 15 17 19 22 23

Chord symbols: I, bVI, I, V, I, VI, I, ii, V, I

Measure numbers: 22, 27, 29, 30, 32, 34, 35

Chord symbols: I, I#5, IV, V, I, I, IV^{#6}, V⁷, I

Example 3.1.2

bar: 5 8 9 11 12 15 16 17 19 20 23 25 26

Chord symbols below staff:

- Measure 19: $V^5 V$
- Measure 20: V^4
- Measure 21: $I^6_3 I^6_4$
- Measure 22: V
- Measure 23: V
- Measure 24: I
- Measure 25: bVI
- Measure 26: V

//

28 29 30 31 32 33 34 35 36 37 38 39

Chord symbols below staff:

- Measure 28: I
- Measure 29: V^9
- Measure 30: I
- Measure 31: $IV I$
- Measure 32: V
- Measure 33: I
- Measure 34: $I^6_3 I^6_4$
- Measure 35: V
- Measure 36: V
- Measure 37: I
- Measure 38: bVI
- Measure 39: V

The image shows a musical score for three staves. The top staff is in treble clef with a key signature of one sharp (F#). The middle and bottom staves are in bass clef with a key signature of two sharps (F# and C#). The score is divided into measures by vertical bar lines.

The first measure (measure 41) features a long, sweeping slur across the top staff, encompassing a half note and a whole note. The bottom staff begins with a half note, followed by a whole note. The middle staff contains a series of eighth notes.

The second measure (measure 51) shows a half note in the top staff, a half note in the middle staff, and a half note in the bottom staff.

The third measure (measure 52) features a half note in the top staff, a half note in the middle staff, and a half note in the bottom staff.

The fourth measure (measure 53) shows a half note in the top staff, a half note in the middle staff, and a half note in the bottom staff.

The fifth measure (measure 54) features a half note in the top staff, a half note in the middle staff, and a half note in the bottom staff.

Below the staves, there is a series of figured bass notation: I, IV, I, V, I, V, I.

3.2 Harmony – Magic – Märchen: *Alfonso und Estrella*

A *Märchen* is . . . an ensemble of wonderful things and occurrences - e.g. a *musical fantasy* - the harmonic progressions of an Aeolian harp - nature itself. (Novalis)¹

Act II of *Alfonso und Estrella* begins with an instance of a type of music that Carolyn Abbate describes as ‘phenomenal song’; as Abbate explains it, phenomenal song (in the case which Abbate discusses, the Bell Song from *Lakmé*) is ‘a musical or vocal performance that declares itself openly, singing that is heard by its singer, the auditors on stage, and understood as “music that they (too) hear” by us, the theatre audience.’² The opening number of Act II certainly declares itself openly; Alfonso introduces his father’s aria in accompanied recitative with the request ‘O sing mir, Vater, noch einmal das schöne Lied vom Wolkenmädchen’ [‘Oh sing to me father once more the beautiful song of the Cloud maiden’] while Froila urges him (and us) to listen to the number (as music) [‘So horche denn’].

As phenomenal music, this ballad number is by no means unique in Schubert’s operatic output. By way of examples Franz’s aria from *Zwillingsbrüder* is implicitly heard by the mayor to whom he sings his strophic lied form; Eginhard implicitly sings an actual serenade to Emma in Act I of *Fierrabras* accompanied by a guitar-like pizzicato string section; the ghostly *Trauermusik* of *Des Teufels Lustschloss* and the trumpet fanfares of *Die vierjährige Posten* and *Fierrabras* and hunting horns from the latter of these are understood as ‘heard’ phenomena and there are other borderline cases of music which could be phenomenal in Abbate’s sense. (The spinning chorus of *Fierrabras* and Robert’s *Trinklied* are typical examples of numbers which are not quite so clear cut.) What is unique about this case is that *Alfonso und Estrella* is completely through-composed and, as a result, a greater effort had to be made by the composer to mark this music as an explicitly phenomenal interpolation within entirely noumenal surroundings.

The distinction between phenomenal and noumenal or realistic and operatic/conventional song is at best a precarious one. The existence in the canonic operatic repertory of music which is heard as both realistic and operatic – there are instances from Mozart to Verdi and beyond where operatic music is heard

¹ Translated from Birrel, G., (1979), 118.

² Abbate, C., *Unsung Voices* (Princeton, 1991), 5.

'realistically' as a fragment of a remembered 'conventional' tune – has led Edward Cone to collapse the barrier altogether and to make the alarming claim that in opera all characters are aware that they live in a music-drowned world; from Monteverdi to Bizet, all characters are conscious of their status as actual singers.³ Drawing on this fantastic claim, Kivy demands that we regard operatic characters as the 'composers' of the music which they sing.⁴ We must even recognise that they 'compose' their own accompaniment, whether it is for the benefit of other characters or for the audience. Despite attempts to defend the validity of this claim, David Rosen correctly points out that Cone and Kivy have set up nothing more than a 'slippery slope argument'⁵ – because in some cases characters realistically sing, and these songs draw on music once heard as operatic (belonging to the fabric of the conventional music), we may no longer understand there to be a distinction between the two. By thus collapsing the distinction, we fail to try and understand how the composer musically conveys the sense of realistic song and we do not question why this distinction is dramatically important. Furthermore we ignore the force of moments where the nature of the operatic illusion itself is called into question, a type of *Illusionstörung* granting the composer himself Romantic ironic detachment from his material in a manner demanded of the Romantic author.⁶

That moments of narration or performed song are somehow disturbing is perhaps reflected by the particularly colourful history of Schubert's ballad within the reception of the opera. At the first full performance of the opera in June 1854, this was one of the many large chunks of music which Liszt saw fit to remove. Liszt's voluminous correspondence demonstrates amongst other things that these cuts were made as the opera took shape in rehearsals.⁷ It is also evident from his correspondence that he held the libretto in no great regard⁸ and that because of its serious dramatic flaws, reviving this opera was for him little more than an act of piety.⁹ Although Kreißle was not especially impressed with the number, remarking

³ Cone, E., 'The World of Opera and its Inhabitants', in *A View from Delft* (Chicago, 1989), 125-138.

⁴ Kivy, P., 'Opera Talk: A Philosophical "phantasie"', *Cambridge Opera Journal* 3/1 (1991), 63-77.

⁵ Rosen, D., 'Cone's and Kivy's "World of Opera"', *Cambridge Opera Journal* 4/1 (1991), 61-74.

⁶ For Jean-Paul, to call into question the illusion of one's own work is to retain the positive ironic detachment demanded of the true artist by Tieck, Schlegel and Novalis. Wheeler (1984), 17-19.

⁷ A letter to Breitkopf dated 27 May 1854 suggests that since these cuts had arisen through the necessity to make the work stageworthy they should also be observed in any forthcoming edition of the work with the deleted passages included only as appendices. [Deutsch (1958), 427.]

⁸ A letter to Léon Escudier in January of 1854 states that he intends to find a suitable new libretto to adapt to what he considers to be worthy music. Ibid. 426.

⁹ Liszt (1881), 68-78.

that it does not live up to expectations,¹⁰ Schober, in his dual role as librettist of the opera and secretary to Liszt, evidently was proud of it, so much so that he included it under the title 'Die Wolkenbraut' in the publication of his collected poems of 1842, and referred to the Schubert setting in the later edition 1865.¹¹ In his recent history of German Romantic opera, John Warrack dismisses this Act opener out of hand, remarking that it is 'absurdly misplaced and . . . has nothing to do with the plot.'¹² In so doing he ignores the potential force of operatic narration, for 'one does not narrate with impunity . . . to tell a story is an act, an event, one that has the power to produce change, and first and foremost to change the relationship between the narrator and the narratee.'¹³ Furthermore Warrack has neglected to discuss the rich traditions to which this number evidently belongs.

Within the field of opera, this number belongs to the tradition of the interpolated ballad, a common feature of Romantic opera from Hoffmann's *Undine*, through Meyerbeer and Marschner, to Wagner. Typically this type of number is strophic and thus set apart from the surrounding music. Traditionally the enclosed number often reflects the action of the outer drama. In so doing Froila's ballad also situates itself within two literary traditions of which the amateur poet Schober was doubtless quite aware. On the one hand it shares much common ground with the *Kunstmärchen*, the literary fairy tale which, from Goethe through Novalis, Brentano, De la Motte Fouqué and Jean Paul, exhibits consistent characteristics. On the other it exhibits the traits of a type of narrative interpolation, termed the *Mise-en-abyme* by Lucien Dällenbach,¹⁴ in which the narrative flow of a large work is interrupted by the internal narration of a shorter tale, perhaps told by one of the characters, which shares dramatic features with the outer narrative in such a way that each manages to elucidate the meaning of the other. There are many examples of such interpolations within German Classic and Romantic literature, for example the puppet play of *Wilhelm Meister*, several narrative episodes of Novalis' unfinished novel *Heinrich von Ofterdingen*, and others in the novels of Jean Paul. The extent and nature of the

¹⁰ cit. Waidelich, T.G., *Franz Schubert: Alfonso und Estrella – Eine frühe durchkomponierte deutsche Oper – Geschichte und Analyse* (Tutzing, 1991), 140.

¹¹ This led to the mistaken assumption that a separate Lied setting existed; Deutsch erroneously assigned the missing Lied a catalogue number (D.683) Deutsch (1978), 398.

¹² Warrack, J., *German Opera From Beginnings to Wagner* (Cambridge, 2001), 315.

¹³ Ross Chambers cit. Abbate, (1991), 97.

¹⁴ Dällenbach, L., *Le récit spéculaire: essai sur la mise en abyme*, (1977) trans. Whiteley and Hughes as *The Mirror in the Text* (Chicago, 1989)

reflection varies greatly from case to case and the nature of our example although limited in certain ways, holds quite important implications for our study.

The term *Mise en abyme*, one coined by the novelist André Gide and taken from its use in Heraldry (to describe shield designs within shields), implies a variety of uses. Dällenbach outlines three literary types which he calls (a) simple (b) infinite and (c) aporetic. Simple reflection denotes the use of an internal narration which parallels events and features of that which surrounds it. Infinite reflection allows the two narratives to be interlinked in such a way that each refers to the other causing infinite regress, akin to the experience of standing between two mirrors. This type of narrative embedding appeals particularly to the Romantic imagination. Indeed there are countless such examples in the novels of Jean Paul.¹⁵ The third type is a further twist on the theme of infinite regress, in which the central narrative portion paradoxically appears to enclose that which apparently surrounds it. An exemplary instance of this is the episode in Novalis' *Heinrich von Ofterdingen* in which Heinrich comes across a book which cryptically and fragmentarily appears to tell the details of his own life so far and seems to hold the key to his future.

In view of these types, Schober's *Wolkenmädchen* episode appears to be merely an impoverished cousin of its Romantic relatives. The correspondences between the plots of external and internal narrative are minimal. The hunter of the tale follows a mysterious woman into the forest. He does not know her name, but she asks 'Willst du mein Freund, mein Diener sein?'. Agreeing to do so, he follows the woman to her fine castle in the clouds, upon which the Romantic vision fades away and he plunges to his death. But this is no Romantic *Liebestod* like that experienced by Fouqué's Huldbrand and the eponymous water sprite Undine, rather it is a warning to those who pursue the Romantic vision of man's union with nature. What first appears to be a utopian Romantic vision suddenly becomes a Biedermeier prohibitive tale, told by Froila to dissuade his son from leaving the safety of the valley.¹⁶ The tale

¹⁵ Indeed, Dällenbach writes that this kind of reflexivity is central to the Romantic imagination, a truth which Jean Paul humorously acknowledges: 'Whereas the entire *Witz* of philosophy is to make the subject "I" into an object and vice versa, the philosophy of the *Witz* nowadays is one that similarly tries to ensure that the ideas of this subject-object are treated sub-objectively; in other words, I am being profound and serious if I say: "I am registering the registering of the fact or registering the fact of registering", or "I am reflecting on the fact of reflecting on the reflexion of a reflexion ("Widerschein ins Unendliche")! Such depths are certainly beyond the reach of some people! I'll go further: only he who shows himself able to write, several times in a row, the genitive of the same infinitive of whatever verb, can be allowed to say: I am philosophizing . . . ' cit. Dällenbach (1989), 38.

¹⁶ Durr, W., 'Schuberts romantisch-heroische Oper Alfonso und Estrella im Kontext französischer und italienischer Tradition', in Parsch and Pausch (eds.), *Der vergessene Schubert* (Wien, 1997), 91.

may be understood as Biedermeier in that firstly it sends up Romantic mysticism (much in the way that the magic of *Des Teufels Lustschloss* is revealed to be a series of illusions and Castelli's *Echo* is an ironic excuse for a stolen kiss) and secondly its message is to privilege limitation and domesticity above expansion and the otherworldly. When Alfonso does pursue his own mysterious woman Estrella through his wish to escape from his own pastoral refuge (the rocky valley in which he was raised) and offers to be her friend and servant, she is quite human, as is the synthesis of warring factions which their ultimate union brings about. The similarity between inner and outer narrative, although readily apparent, is musically underscored by a reference to Froila's ballad immediately prior to Alfonso's aria to Estrella following their initial meeting (Example 3.2.1).



Example 3.2.1

In contrast to many of the ballads of Romantic opera, (Rimbaut's Ballad of *Robert le Diable*, Senta's Ballad of *Der Fliegende Holländer*, the fisherman's Romanze of *Undine* are but a few examples) the separation in Schubert's number between natural plot and supernatural interpolation is firmly established marking the latter as *Märchen*-like.¹⁷ The literary fairy tale, or *Kunstmärchen*, is a genre with which both Schober and Schubert were doubtless well acquainted. Schubert's allegorical tale, later entitled 'Mein Traum' by his brother Ferdinand, is evidence enough of the composer's willingness to take on board its style, characteristics and implications for music. Although Deutsch describes this fragment as 'an embodiment of ideas in the style of Novalis',¹⁸ the extent to which Schubert took on board the style

¹⁷ The ballads of Hoffmann, Wagner, Meyerbeer and Cherubini all tell the past and future of supernatural or demonic characters who are to appear in the opera. As Abbate remarks, Senta most explicitly acknowledges her own involvement with the Dutchman when at the end of the Ballad she cries 'Ich sei's, die dich durch ihre Treu' erlöse'. [Abbate (1991), 85.] By thus spilling over, this moment reveals the ballad to be Dällenbach's aporetic type – the interpolation which encloses the story which apparently surrounds it. Senta's Ballad thus forms an interesting contrast with Schubert's which shatteringly declares that it is *only* a ballad and a prohibitive tale.

¹⁸ Deutsch (1946), 228.

and content of Novalis' writings has not been previously acknowledged.¹⁹ The failure of Schubert scholarship to fully appreciate Schubert's debt to the Romantic writer has resulted in a lack of appreciation of its significance.²⁰

Within the Romantic novel, the *mise en abyme* often takes the form of a *Märchen*, although there are many examples of tales which stand alone. One of the reasons for this is that the *Märchen* has a distinctive set of stylistic and structural features which make it instantly recognisable as such and consequently separate it from the surrounding narrative. One of the major structural devices is the simple schematic, often triadic, form of the narrative. Often in Novalis (as in Schubert's *Traum*) the tale involves a stable happy homeland which is departed, perhaps as part of a quest for knowledge or spiritual enrichment, supplanted by a period of wandering or instability, and ultimately recaptured anew.²¹ During the period of estrangement, the protagonist (the eponymous Heinrich von Ofterdingen, Hyazinth from *Die Lehrlinge zu Sais*, Schubert's own wanderer) often glances back towards the homeland which he longs for and feels he may not recapture, and yet finds himself drawn to. (Heinrich feels that his quest will lead him home, Hyazinth unveils Isis and sees the face of Rosenblüthe whom he left at home, Schubert sees the body of his mother lying there 'like the good old days in which the deceased wished us to live'.²²) And finally the return home appears transfigured by all that has come between.²³

The language of the *Märchen* is conventionally symbolic, invoking features which may stand for a variety of things. Novalis's symbolic language is highly developed and although we can only speculate about the meaning of Schubert's symbols, the figures of the father and the sleeping virgin as well as the grave, the garden and music as a synthesising force all have demonstrable antecedents in

¹⁹ More recently, Ilija Durhammer has written about correspondences between this tale and Novalis's 'Hyazinth und Rosenblüthe' from the novel 'Die Lehrlinge zu Sais'. [Dürhammer, I - 'Zu Schuberts Literaturaesthetik', *Schubert durch die Brille* 14 (1995), 20-22.] A full discussion of some other important correspondences and consequences for interpretation can be found in Appendix 2.

²⁰ Schumann, who first published the fragment, wrote only that it is 'open to deeper appreciation'. [*Neue Zeitschrift für Musik* 10, (1839), 37.] Many scholars from Walther Dahms forward have sought to relate the events of the tale to actual biographical ones, probably on the sole basis that Schubert's half brother Anton alleged that the two banishments of the tale related to two actual expulsions from the family home. Deutsch (1948), 228.

²¹ As Birrel points out, this Triadic longing for the past as a source of hope for a utopian future is one of the stable tenets of early Romantic thought. Birrel (1979), 63.

²² Deutsch, O.E., *Schubert: Die Dokumente seines Lebens* (Wiesbaden, 1996), 59. (Translation mine).

²³ We might recall Marston's suggestion that a musical return home (where home is metaphorically identified with the tonic) is never a literal return, but one where home is rendered 'unheimlich'; his test case as discussed in Section 2.2. is the B_b sonata recapitulation. Marston (2000).

Novalis' writings. Furthermore the literary symbols of Schubert's dream exhibit some of the principle features of the Romantic symbol as discussed in Section 2.1. They are intransitive, referring to nothing beyond themselves; they often express production or becoming (for example the grave as a location which changes as he enters the circle, and music whose meaning continually shifts as it is apprehended from love to pain and back); they often synthesise opposites (again music as love and pain but also the father figure as commanding and forgiving); and appear to express something mystical.

Perhaps the most characteristic feature of the *Märchen* is its distinctive treatment of space and time. Gordon Birrel has demonstrated that it is the innovative treatment of these themes which distinguishes the style of the Romantic tale.²⁴ Both of these are often rendered in very vague terms. The spatial journey of Schubert's protagonist is described only as leading 'in ferne Gegend' [to far off lands] while that of Novalis' Hyazinth is to 'geheimnißvolle Lände'. Often space is evoked in terms of time: Schubert's character travels for many long years [Jahre lang] while Hyazinth more explicitly puts many years behind him ['viele Jahre hinter ihm']. Descriptions of the flow of time are equally vague; more often than not narrative progression is not gradual but precipitated by sudden events, denoted in Schubert's case by the words 'Einst', 'Dann', 'Nun'.

As well as the general spatial and temporal indeterminacy which characterises the *Märchen*, there are also moments where the boundaries of time and space are imaginatively broken or dissolved, more often than not at moments of transcendent homecoming. An instance of this may be found at the grave of the pious virgin [*Fromme Jungfrau*], unfortunately translated by Blom as 'gentle maiden' which misses the overtones of the Christian mysticism of Novalis. Lawrence Frye's description of a similar moment at the grave from Novalis' 'Hymnen an der Nacht' might equally well apply to that of Schubert's tale:

Every step which brings him closer to final release is initially a step into greater restriction and a more tightly structured area.²⁵

²⁴ Birrel (1979).

²⁵ Frye, L., "Spatial Imagery in Novalis' 'Hymnen an die Nacht'", *Deutsche Vierteljahrsschrift* 41 (1967), 572.

A similarly paradoxical temporal metaphor arrives at the same point of Schubert's tale. He writes: 'I felt as though eternal bliss were gathered together into a single moment.'²⁶

Dürhammer notes that the metaphors of 'Hyazinth und Rosenblüthe' are predominantly visual ones rather than sonic ones.²⁷ However, one does not need to look far through Novalis' writings to uncover imaginative treatment of musical themes and ones which Schubert clearly adopts. On the one hand, music appears as a synthetic force which restores order and harmony. In Novalis we see this in a number of cases, the most notable of which is the ending of the tale of Atlantis from *Heinrich von Ofterdingen* in which the young boy sings a song which tells of the past and the present and ushers in the new future. For Schubert of course it is the synthesising force which mediates between love and pain. In the first stage of the journey, the conflict between these remains unresolved.

On the other hand, for both Novalis and Schubert music is also a symbol of a natural order to which humanity aspires. In Schubert's dream it is the wondrously lovely sound which issues from beyond the grave at the point where the wanderer passes over into the circle. In an image which is oddly reminiscent of Pythagorean theories of natural order, in particular the harmonic world/human order of Fludd, one of Novalis's characters plays music to save himself from attackers and instantly the scene becomes a static tableaux of heaven and earth resonating as if harmonically:

The whole ship rang with it and the waves resounded, the sun and the constellations appeared in the sky, and out of the green waters emerged dancing hosts of fish and sea monsters.²⁸

This image is extremely suggestive for it envisions natural order harmonically and restores the explanatory power of music which it had held prior to the enlightenment. The epistemological importance of music for the Romantics is epitomised by Novalis'

²⁶ Deutsch (1946), 227.

²⁷ 'In diesem Zusammenhang ist es auch auffällig, daß der dichtende Komponist immer wieder von Klanglichem spricht, während Novalis sein Märchen von Anfang bis Ende in farbigen Bildern schildert.' Dürhammer (1995), 21-22.

²⁸ 'Das ganze Schiff tönte mit, die Wellen klangen, die Sonne und die Gestirne erschienen zugleich am Himmel, und aus den grünen Fluten tauchten tanzende Schaaren von Fischen und Meerungeheuern hervor.' Novalis (1981), 258. Trans. Hilty (1959), 34.

'Monolog' where he heralds it as the condition to which pure language as non-representational play of signs should aspire.²⁹ The kind of non-representational higher language which Novalis describes in the Monolog is found most clearly in the Märchen. And it is here that the most fundamental use of music and Märchen lies. For music is not just a metaphor for synthesising forces, nor is it simply a symbol of a new world order of man and nature reunited in harmony. It is also the condition to which the Märchen aspires. On several occasions, Novalis poetically connects the concepts of nature as unity underlying chaos, the Märchen as a reflection of this, and music as the image of both of these. Below are perhaps Novalis' most significant comments on the subject:

In a true *Märchen* everything must be wonderful - mysterious and disconnected [*unzusammenhängend*] . . . The time of complete anarchy - lawlessness - freedom - the natural state of nature.³⁰

A *Märchen* is . . . an ensemble of wonderful things and occurrences - e.g. a *musical fantasy* - the harmonic progressions of an Aeolian harp - nature itself.³¹

The type of harmony which Novalis envisions is illustrated more clearly in a section of the tale of 'Klingsohr und Fabel'. Here, the king rearranges mysterious cards, while in the sky the constellations rearrange themselves as a beautiful music sounds all around:

Die Sterne schwangen sich, bald langsam bald schnell, in beständig veränderten Linien umher, und bildeten, nach dem Gange der Musik, die Figuren der Blätter auf das kunstreichste nach. Die Musik wechselte, wie die Bilder auf dem Tische, unaufhörlich, und so wunderbar und hartt auch die Übergänge nicht selten waren, so schein doch nur ein einfaches Thema das Ganze zu verbinden.³²

²⁹ See Bowie (1997), 65-67.

³⁰ Translated Birrel (1979), 118.

³¹ Ibid.

³² Novalis (1981), 341.

This is not simply an instance of music within a Märchen, for this episode of rearranging cards acts as a metaphor for the narrative of the Märchen itself within which characters which act symbolically (Eros, Fabel, Ginnistan, The Scribe etc) rearrange themselves successively into different combinations.³³

Elizabeth McKay suggests that by scoring the Ballad of the Wolkenmädchen to include an orchestral harp suggests that 'Froila, the musician, is accompanying himself.'³⁴ Indeed the association of the harp with the minstrel Palmerin from *Die Zauberharfe* would appear to confirm this. But I believe that while the conspicuous use of the orchestral harp in this number does indeed signify an instance of phenomenal singing³⁵ it has a greater significance just this.

Our brief study of the Märchen as Schubert understood it has revealed that it is composed of features which act as symbols. The dimensions of time and space are significant for the Märchen in two ways. On the one hand they are manipulated in a distinctive manner. Time does not flow evenly but is represented by the move from one space to the next (home, distant lands, altered home). The move from one space to the next is precipitated not by gradual developments but by sudden events (banishments and deaths) and in each case marked by a word which conveys the sense of having suddenly moved ('Einst', 'Dann' and 'Nun'). From each point, the central character of the Märchen is able to survey his past, his present and the future for which he longs. On the other hand, space and time are not merely the framing dimensions of the Märchen but also become thematic, as witnessed by the moment at the grave in which time is infinitely contracted (eternal bliss within one moment) and space is infinitely exploded (homeland lies within the impenetrable circle).

If Schubert did indeed understand the Märchen in Novalis' sense, he would also have conceived of it harmonically as a series of apparently chaotic progressions of the Aeolian Harp, of points which successively rearrange themselves like the cards and stars of Klingsohr's tale. The condition to which the Märchen aspires is that of music, the music of nature. And the tale of the Wolkenmädchen, marked as it is as an interpolated Märchen in the manner of Novalis, Tieck, E.T.A. Hoffmann et. al., is the perfect moment for Schubert to compose something akin to the type of music which Novalis is describing.

³³ See Haywood (1959), 113ff.

³⁴ McKay (1991) 221; Waidelich also remarks that the use of the orchestral harp denotes the insertion of realistic song (Einlage-Charakter des Liedes). (1991), 190.

³⁵ This ballad is the only number from this opera which uses the instrument.

A Märchen-like music evidently has all of the qualities which Adorno ascribes to (late) Schubert. It creates musical spaces which are placed next to each other without temporal progression. The route from space to space is negotiated through sudden harmonic shifts, not through the organic necessity of Beethovenian development. The progressions are apparently chaotic and wandering, and yet underlying them there is a network of connections (Novalis' 'einfaches Thema' from Klingsohr's tale). As material for large stretches of opera, this type of music might not be particularly suitable for it is unschematic and its episodic lyricism is too laid back to create the feeling of action. But as John Daverio has observed, early Romantic opera (his test case is Weber) treads a continually changing path between the symbolic and the allegorical in the Goethean sense that the music either 'matches the continuous flow of the stage action without our being able to say that one directly calls forth the other'³⁶ (Allegory), or evinces a large-scale fundamentally musical coherence of its own (Symbol).

In the case of the *Wolkenmädchen* ballad Schubert errs on the side of the symbolic. Furthermore he is on comfortable ground because that which is symbolised is, appropriately, music/Märchen/nature itself. At the simplest level the ballad is 'musical' because it is phenomenal song denoted by the introduction 'so horche denn'. To this end he also foregrounds the use of the orchestral harp. On this simple level the harp, which is unique to this number, denotes the act of music making which as McKay notes, links him to the Troubadour Palmerin from *Die Zauberharfe*. And yet there were many other ways in which Schubert could have designated phenomenal music in this simple sense. A simple strophic form such as that of Phillip's Romanze of *Fernando* would have fitted the bill and Schober's iambic rhythm and simple rhyme scheme would have lent itself happily to such a treatment; perhaps it was even intended to do so. And if a strophic form and the introduction 'Sing to me father . . . well listen' failed to convey this alone, then a simple string accompaniment, perhaps one like that of Eginhard's serenade from *Fierrabras* I, would have sufficed. Indeed Abbate observes that later operatic Ballads of Meyerbeer, Cherubini and Wagner are conventionally strophic, thus separating them clearly from the surrounding music as an act of performance.³⁷ (Given the presence of other strophic forms in *Alfonso*, however, the distinction might not be so clear.) In this light, the suggestion that the

³⁶ Daverio (1993), 99.

³⁷ Abbate (1991), 71-72.

harp merely conveys the act of accompanying song seems a little one-dimensional. It is perfectly natural for Palmerin to accompany himself on a harp, for in Hoffmann's *Melodrama* his harp is itself a crucial element of the plot. To envisage an actual harp in the hands of Froila is not quite so reasonable.

Although we should not imagine Froila as a harpist, the link to Schubert's earlier melodrama is still an important one for understanding this number. In the earlier melodrama there are certain distinctive acts of magic, but the actual use of the harp is to effect a harmonic transformation which cycles through all possible diminished sevenths (sonorities which have characterised the threatening fire demon Sutr), and subsequently resolves them into diatonicism and the key of E major, that which closes the melodrama. In short, the harp is magical because of its use as an agent of harmony.

It is this connection between harmony and magic which is crucial for understanding Froila's Ballad. Most immediately apparent is the key scheme of the main body of the song. Beginning and ending in G, the number outlines a cycle of major-third-related key areas within which different themes are exposed. It goes without saying that this cycle of thirds is extremely common at the micro level (for example those in the E flat piano trio)³⁸ and at the macro level (of the keys of the *Wanderer Fantasy*).³⁹ Unlike a 'Cohn cycle', however, the modulations are not achieved through simple transformations of P or L. The first modulation (bb. 36-37) firstly effects a P transformation but then interpolates the dominant of the new key, while the second and third (b.59 and b.79) move through both steps (P and L) at once having already effected two P transformations (major – minor – major). However the idea of harmonic-transformational relationships between these key areas is underscored by transformations of the vocal line itself. Although each section begins with a new theme, each of these unfolds a triad of the new key. The triads which are unfolded are found to be in root position (G), in first inversion (E_b), and in second inversion (B). This is to say that they appear as they would if each chord were subsequently altered with minimal voice-leading steps (maximal smoothness) (Example 3.2.4 printed at the end of this chapter).

Within each key area, the parallel minor is briefly treated and, in first two cases, the altered tone of the P transformation (B_b and G_b respectively) is used as a

³⁸ Cohn (1999), 214.

³⁹ Taruskin (1985), 80.

pivot to a tonicisation of the local flattened mediant. In each case, this tonicisation is only temporary and results in a return to the principal key area. The result is a feeling of harmonic space which does not press forward but instead, like Novalis' Heinrich and Schubert's Traveller, turns back towards where it has come from. The course of the cycle is not a series of inevitable transformations but a space within which the narrative may move backwards and forwards while touching on every point in between, which is to say form envisaged in terms of harmonic *perspective*.

While Froila's ballad symbolises music in the simple sense that it foregrounds the act of music-making, we can now also see that it is musical in the deeper sense that it is Märchen-like. The narrative progression consists of lyrical episodes linked by sudden shifts. These shifts are governed by underlying harmonic transformations which rearrange themselves without a feeling of temporal necessity, but rather with a spatial fluidity, like Tovey's star clusters, Novalis' card game and the Aeolian harp, and convey a utopian symbolic background which is shattered by the Biedermeier prohibitive and debunking ending.

The image shows a musical score for a song. It consists of two systems of music. Each system has a vocal line (treble clef) and a piano accompaniment (grand staff). The key signature is one sharp (F#), and the time signature is 3/8. The lyrics are written below the vocal line. The first system of music ends with a fermata over the final note. The second system of music also ends with a fermata. The piano accompaniment features a steady eighth-note pattern in the right hand and a more complex pattern in the left hand, often with chords.

Example 3.2.2

As well as providing the symbolising backdrop to this number, harmonic devices also function allegorically as illustrations of the drama within the number. These combine with other devices, topical and otherwise which create musical meaning. Given Schubert's tendency to reuse melodic themes or rhythmic or diastematic shapes in widely different scenarios it is unwise to place too much importance on reminiscences of other works or even between the different numbers of a given work. However two such reminiscences are worthy of note for their similar dramatic functions. One is the frequently noted reuse of the B major theme (bb.60ff)

five years later as the primary theme no 19 of *Winterreise* 'Täuschung' (Example 3.2.2).⁴⁰ The similarities of dramatic situations need hardly be underscored. The solitary travellers see a dangerous illusion which urges them to follow to an uncertain doom and willingly they pursue their respective visions. In the context of Froila's ballad, this theme arrives at the moment which the hunter chooses to follow the dancing cloud maiden. (The key words linking Schober to Müller are 'folgen' and 'tanzen'.) However whereas Müller's wanderer is wilfully pursuing death, Schober's hunter is ignorant of his fate. What we hear in the theme is a musical reference which warns us of the likely outcome articulated with a backdrop of ländler-like accompaniment. Certainly the use of the humanising dance rhythms is intended to be unsettling or uncanny; we might recall in connection with this idea the revulsion expressed by the *AmZ* critic at Hüttenbrenner's *Erlkönig* waltzes.⁴¹



Example 3.2.3

A further melodic reminiscence which has not been remarked upon occurs at the point where the illusion is shattered (b.84). Study of the autograph score reveals that Schubert initially intended to retain the 12/8 meter with a theme which continued the tone of the rest of the number.⁴² The alternative which he ultimately composed shifts the genre from a pastoral idyll to the accompanied recitative of the dramatic ballad (such as those he composed in his early years). Indeed the shift of narrative technique is underscored by an allusion to his own setting of 'Die Bürgschaft' at the point where Schiller's hero having just reached safety encounters a band of robbers (Example 3.2.3). This shift suddenly foregrounds the role of Froila as the narrator (much in the same way that the narrator of *Erlkönig* takes over and affirms the child's death in recitative). Dramatically the moments have little in common except that a point of homecoming and repose is suddenly wrenched away. What is more

⁴⁰ See McKay (1991), 221; Waidelich (1991), 140.

⁴¹ We might also consider the triadic 'folg-te ihr' reminiscent of the *Erlkönig*'s 'Lie-bes Kind', another instance of a spectral otherworldly figure luring its victim to death through song and dance.

⁴² Waidelich (1991), 140, 253.

significant is the shift from Romantic Märchen to Classical Ballad. The dramatic effect is that of being wrenched from the utopian realm by the force of suddenly imposed narrative distance.

As befits the pastoral scene illustrated, the ballad contains many devices which allow the main body of the ballad (up until bar 84) to be understood as a pastoral expressive genre. The compound metre and Andante tempo indication are the most obvious cues, but the rocking string accompaniment, persistent sighing appoggiaturas and soft wind accompaniment add to this impression. The pedal point of the E_b section is more suggestive of a rustic dance and the harp accompaniment of the section in B further strengthens this impression and reflects the beguiling dance of the maiden herself. Although the overall genre is pastoral, there is a trajectory away from pure static nature towards rustic dance, from idyllic tableaux towards movement and culture. Topically it is a warning to Alfonso not to leave his own peaceful valley for the whirl of the dance that may lie beyond its confines.

Schubert's through-composed Ballad setting does not treat Schober's verse evenly, for the four principal sections (those based in G, E_b, B and G) articulate vastly different portions of the text. The first section sets one strophe, the second sets three, the third section sets two and a half and the final curtailed episode in G sets the remaining half of the seventh strophe. This would suggest that Schubert divided the text into sections according to the episodes of the drama, not according to Schober's implicit verse structure. Thus section 1 treats the arrival of the maiden into the green meadow. Section 2 involves her entreaties to come with him, mostly in her own direct speech as she describes all the joys that await the hunter and urges him to look at her illusory castle in the distance. Section 3 describes him following, reaching the summit and wanting to grasp at her but being unable to do so and leads into section 4 where castle and maiden fade away.

Loosely speaking the themes of the three principal sections are 'arrival', 'gazing' and 'ascent'. It is these themes which are articulated harmonically by the processes of the different sections (Example 3.2.4). The shift toward the flattened mediant in the first section is not the tonicisation of a new area but the unfolding of a foreign element which resolves back to the tonic. The episode begins on the words 'Da trat...' (b.32) and closes on the words 'zu ihm hin' (bb. 34-35) and harmonically illustrates not the journey of the hunter into a new realm, but a foreign element approaching *him* (zu *ihm*).

In the second episode, as the maiden urges the hunter to look at what she offers him, there are a series of harmonic shifts, none with firm tonicisation, rather like Adorno's shifts of the light or of perspective, which touch on the dominant, the subdominant, the flattened mediant and the tonic minor. These do not unfold a sense of progression, rather a series of illusory goals which are immediately undercut or remain unfulfilled. Even the turn towards the parallel minor (the next stage of the underlying voice-leading progression) is rejected in favour of the major (b.59), and threatens to spawn an R transformation (b.57), another defeated goal.

In contrast with the pull towards home of the first section, and the harmonic gazing of the second, the third section finally asserts a concerted motion in the form of a sharp side directed circle of fifths unfolding a series of overlapping figures and a final unfolding of a rootless dominant ninth of A (iconic of reaching towards her?) which in turn resolves onto an augmented sixth chord on C, resolving to B, now heard as V of a potential E (bracketed in the graph of this section). Within this number this section is unique because of the development which has ensued. Furthermore, as Salzer observes, the ascending fifth progression is rarer than its descending counterpart.⁴³ Running counter to dominant gravity, the musical ascent effectively portrays the climb of the hunter. The first section closes on G having assimilated a modulation to the flattened mediant (as a representation of the arrival of a foreign element). The second closes on E_b after a series of non-structural modulations. Only the third has transformed the local tonic into a dominant, having rendered it *unheimlich* through a series of developmental steps which suggest the first real forward-movement of the number. By writing music which creates forward movement, time begins to flow in the manner of a ballad in which event follows narrated event. Whereas the Märchen often ends by dissolving the flow of time as an illustration of transcendent outcome, here the sudden flow of time prepares the way for the narrated events of the closing recitative in which the illusion of spatial Märchen is shattered and replaced by Froila's cold narration of the hunters demise. The force of this dissolution is felt all the more strongly because of the sudden musical return we have encountered. Just as the Märchen returns home but altered, and by surprise (Schubert's narrator returns to the father, Hyazinth unveils the face of

⁴³ Salzer, F., *Structural Hearing: Tonal Coherence in Music*, 2nd Edition (New York, 1962), 166.

Rosenblüte) we return home by surprise – the harmonic preparation is for E major not for G – the green meadows have been replaced by heavenly blue skies.

Schubert's achievement in this number has been to give his undramatic key-schemes a dramatic purpose, shifting narrative mode in the manner of the interpolated Romantic Märchen, and allowing the music to function both as Allegory for the actions of the story (otherworldly arrival – gazing – ascent) and as Symbol of the harmonic perfection of the Märchen through the peculiar musical sense that it creates in itself. It is evidently important that this number makes sense musically, not only because this is a requirement of opera *per se*, but also because it symbolises the musical perfection of nature which in his neo-pythagorean vein Novalis believed was the defining feature of the Märchen. By maintaining the balance between musical self-sufficiency and dramatic viability, Schubert has created a niche of truly operatic music within an opera which otherwise frequently fails to balance the two adequately.

In his thesis on Schubert's operas, George Cunningham asserts that Schubert was strongly influenced by a treatise by the composer and bureaucrat Ignaz von Mosel.⁴⁴ Mosel's treatise is effectively an aesthetics of Gluckian Reform opera, codified as a rule book for future ventures. As Thomas Denny has successfully played down the significance of Cunningham's claim⁴⁵ I do not wish to labour the connections with this treatise and in this section I choose only to refer to Mosel's *Versuch* when it has a positive bearing on the opera. Specific discussion of Mosel's role will take place in my chapter on *Fierrabras* for reasons which will become clear.

As early through-composed German opera, one might expect *Alfonso* to have a certain kinship with Weber's *Euryanthe*. However, Schubert's and Weber's solutions to the problems of dramatic music were quite different; indeed Schubert reputedly remarked to Weber that he was displeased by the opera's lack of melody and that he preferred *Freischütz*.⁴⁶ The significance of this remark is two-fold. On the one hand this was a political shot in the foot for Schubert; Weber had reputedly offered him the possibility of a performance for *Alfonso und Estrella* in Dresden but this comment left him less favourably disposed to offering such assistance. On the other hand, the comment is suggestive of the lack of appreciation for the requirements of dramatic

⁴⁴ Cunningham (1974) 10

⁴⁵ Denny (1994).

⁴⁶ Reported by Spaun in Deutsch (1957), 22.

music, for virtually all commentators agree that it is Schubert's uncontrolled lyricism that lies at the heart of *Alfonso's* failure.⁴⁷

It would appear that *Alfonso und Estrella* actually has far more in common with *Der Freischütz*, and although Schubert only saw this opera at the point where he was composing music for the second act, the similarities are worthy of note. Both involve hunting choruses, peasant dances, wise patriarchal figures with hymn-like music, and evil conspirators denoted harmonically by diminished sevenths. Both also trace a Biedermeier trajectory from domestic stability, through darkness and elements which threaten that stability, towards a social worldly resolution.⁴⁸ However, measured against *Freischütz* too, *Alfonso* falls short on several counts. The dramatic clarity of Weber's opera is reinforced by reminiscence motives derived from French models. To label but a few, these include Max's horn calls and the descending arpeggio of the Wolfsschlucht, Agathe's 'big tune' taken from the overture, a shorter figure from the overture denoting Max's doubt, the trill figure of Kaspar's *Trinklied*. Schubert on the other hand recalls themes only occasionally and often does so rather ambiguously. The recapitulation of the *Lobesgesang* from Act I, no 3 in the Act III finale reinforces the return to stability, perhaps in reaction to similar recapitulations from *Freischütz*, and although this moment is dramatically effective, it has the feeling of a compositional afterthought. The brief reference to Froila's Ballad during the meeting of the lovers in Act II also underscores the dramatic point that Estrella is earthly and unthreatening. However, the similar rhythmic profiles of Alfonso, Estrella and Mauregato in widely different dramatic situations is heard only as unimaginative and monotonous.

Weber's orchestration separates out good and evil fairly brutally in a manner which parallels the scenic separation of good and evil characters – Max and Samiel never interact directly, rather Samiel haunts him from behind the scenes. Kaspar appears with a distinctive shrill piccolo figure; Ännchen's obbligato viola parodies the cello of Agathe's preceding Cavatine; horns are associated with Max and in particular

⁴⁷ While it is debatable whether or not Euryanthe is truly a number opera (see esp. Weisstein 'C.M. von Weber's *Der Freischütz*: "Nummernoper" or "Gesamtkunstwerk", in Chapple, Hall, Schulte (eds.), *German Literature and Music in the Nineteenth Century* (Lanham, 1992), 281-307), Liszt is in no doubt about the nature of *Alfonso und Estrella*, relating it to the Singspiel of Gyrowetz and Weigl and describing it as 'a progression of simple, beautiful and melodically broad song numbers . . . [crucially lacking a] dramatic element.' (1881), 72-73.

⁴⁸ Mark Doerner has argued that *Der Freischütz* be interpreted as a Biedermeier opera rather than a Romantic one because of the trajectory which it outlines and the unresolved tensions which are evident at the end. [Doerner (1990) esp. chapter 4]

with hunting life and nature; and the *Wolfsschlucht* scene is scored with low strings and low register clarinets.⁴⁹ While Liszt and Hanslick disagree over the variety and quality of the orchestration of *Alfonso*,⁵⁰ neither makes any claims for its dramatic appropriateness and Waidelich suggests a lack of forward planning rather an impulsive attempt at momentary dramatic effects.⁵¹

Weber's key schemes are also extremely carefully planned. C major stands for human goodness, C minor for demonic evil. D major is rustic and natural, although paired with B minor it becomes the coarseness of Kaspar's drinking song. A major and E major, are the keys of love and purity in Agathe's section of the second act. At the centre of the work the diminished seventh of Samiel's 'Leitmotiv' becomes the key scheme of the *Wolfsschlucht* scene.⁵² According to Warrack, Weber himself remarked that the whole work traces a curve downwards into darkness and up into light again.⁵³ By placing this darkly orchestrated, melodrama with its pervasive diminished sonorities at the centre of the work, all aspects of Weber's planning follow this trajectory and lyricism itself (in the form of Agathe's theme finally in C major) emerges as triumphant at the end of the work, after its disappearance in the chanted choral opening to the Wolf's glen.⁵⁴ For Schubert by contrast, joyful lyricism is never really under threat and consequently recalling the Act I chorus in the Act III finale does not have the same dramatic force.

Schubert's score for *Alfonso* is certainly inconsistent and, owing to the Schober's swathes of reflection and declarations of love, often extremely undramatic. However there are certainly sections which betray elements of tonal planning. The associative use of key is one aspect of this. Although Schubert may not have taken

⁴⁹ Weber's own comments on this orchestration, quoted at length in his conversations with Lobe, are evidence enough of the careful forward planning of his score. cit. Warrack (1968), 221.

⁵⁰ Liszt describes it unflatteringly as like an orchestrated piano accompaniment and one which is less dramatically involved than in the Lieder of the same composer. [Liszt (1881), 73.] Hanslick on the other hand writes that 'the sound of the orchestra bewitches through its blossoming fullness and character.' [Hanslick (1884), 160.]

⁵¹ By way of example, scoring for piccolo occurs suddenly in the third act but is absent from Adolfo's Aria in Act I and from the conspiracy scene of Act II where we might otherwise expect it. Perhaps this was a reaction to *Freischütz*. At any rate it suggests something of this impulsiveness. Waidelich (1991), 190.

⁵² For a full discussion of significance of keys in *Freischütz* see Warrack (1968), 220-221.

⁵³ Ibid. 220.

⁵⁴ Thus the scene is prophetic for Romantic opera not only due to the use of darker sonorities, characteristic orchestration and freer musical prose, but in that it illustrates the act of intrusion as a disruption of musical syntax, much in the same way that Eric's dream narrative from 'The Flying Dutchman' denotes intrusion through the descent into musical 'anarchy' within the 'ordered world of the number opera'. Abbate (1991), 96.

the advice of Mosel's *Versuch* and referred to Schubart for guidance,⁵⁵ there is a clear consistency to this aspect of the opera. Certain keys become associated with characters, and dramatic themes. E \flat major is associated with Froila and his pastoral refuge; it opens and closes his extended Aria (No.2) and also is the key of the hymn of praise sung by the chorus of Peasants (No.3). The key returns at the point where Alfonso summons his father and their army with the horn presented to him in the recitative at the end of this hymn. B \flat is also Pastoral but is perhaps more associated with Alfonso (No 5, Finale III). A major and its parallel minor are associated with divided characters, those who love and fear for the future (nos 6, 7, 19, 15, 19, 20, 21, 27). (The frequency of its use gives some idea of the excessive amount of reflection in the work!) E major appears rarely but with a consistent meaning. It is the climax of the scene between Alfonso and Estrella in Act II as they promise to meet again; it is the key in which the hymn of praise returns in the Act III finale; and after a brief disruption it is also the key in which the opera concludes. The most consistent associative key is B major/minor which, as for Weber,⁵⁶ is associated with the villain of the piece, perhaps the only true agent of drama the work ever sees.

The use of a key as associative, while evidently important for Schubert's conception of the opera, often takes second place to other aspects of tonal planning. Although much of the opera appears to follow rather diffuse key schemes, there are certain periods in which the tonal progression outlined lends shape and sense to the drama. This happens in two different ways. On the one hand a scene may be governed by an overarching principle which sets the tone for the area in question under the umbrella of a single dramatic theme. On the other hand, a scene may be shaped by the tonal progression in such a way that certain sections become pivotal points or dramatic climaxes with subsequent resolutions.

The *Wolkenmädchen* ballad could be considered to be an example of the first type. The key areas of E \flat and B do not carry the associations of the rest of the opera (pastoral idyll and villainous outburst) but are instead subsumed within the augmented triad key scheme, whose mediating modulations convey an absence of dramatic

⁵⁵ Mosel (1813), 43.

⁵⁶ Kaspar of *Freischütz* and Eglantine of *Euryanthe* both inhabit this key. Interestingly, Schubart's characterisation of B minor ('the key of patience and quiet anticipation of ones fate' [Schubart, C.D.F. *Ideen zu einer Ästhetik der Tonkunst* (Wien, 1806), 377.] is completely at odds with its use in *Alfonso und Estrella* and in Weber, suggesting that Schubert actually drew more on common practice rather than dated taxonomies.

progression and the feeling of otherworldly magic and space of the Märchen. The harmonic organisation of this ballad-number thus denotes not inevitable temporal progression but spatiality; it encloses a realm within which the action of this scene moves and which sets it in relief from the surrounding work. The second type is typified by the long stretches of tonally coherent music with their origins in the Act Finale of late 18th century opera Buffa. The finale of Act I is the most exemplary instance of this within *Alfonso und Estrella*. It is to this section that we briefly turn.

The image shows a musical score for a choir, labeled 'Example 3.2.5'. It consists of two systems of music, each with a vocal line and a basso continuo line. The key signature is one sharp (F#) and the time signature is common time (C). The first system has the lyrics: 'Zur Jagd, zur Jagd! die' (top line) and 'Zur Schlacht, zur Schlacht! Die' (bottom line). The second system has the lyrics: 'he Jagd be - freit die Brust die' (top line) and 'wil - de Schlacht gibt Sie - ges - lust, die' (bottom line). Dynamics include *ff* (fortissimo) and *p* (piano).

Example 3.2.5

This Act Finale successfully fulfils a variety of dramatic functions. In the first place it places harmonic distance between itself and the beginning of the act by enclosing a resounding A major, a tritone away from the E flat around which much of the opening scene revolves. In the second place, it brings together a variety of forces in an impressive closing tableaux. The choral phrases of soldiers (*Zur Schlacht*) from the opening of the Finale, and hunts-women (*Zur Jagd*) from the opening at the palace scene, were evidently composed in order to be combined (Example 3.2.5). Thus the closing refrain recapitulates several strands at once. In the third place it encloses the seeds of the drama which threatens the stability. Having asked Estrella to marry him and been turned down, the General Adolfo demands it of her father Mauregato as his reward for success in battle. Estrella protests, and Mauregato agrees to the marriage on the condition that he locate the lost Chain of Eurich, a sacred relic of the realm which he has no intention of Adolfo finding, but which is currently hanging around Alfonso's neck.

At the centre of the piece lies a canon in F for the three central characters which persistently revolves around the same sequence of harmonic inflections I – i –

bIII \rightarrow VI – IV $\frac{6}{3}^{+}$ Ic – V – I. In so doing it also outlines the key scheme of the Finale as a whole. A, C, F, E, A. But whereas at the level of theme, V is heard as a passing sonority, writ large, Schubert squeezes a further canonic recapitulation out of V via a typically convoluted modulation.⁵⁷ In so doing he delays the false resolution which Mauregato's decision provides in returning to the home key and concluding the scene. The mirroring of tonal scheme within tonal scheme could well be considered a Romantic narrative technique. In the manner of the *Mise en abyme*, the internal portion mirrors the action of all around it. Given that the function of this section is to bring together all points of view on the conflict, this interpretation seems highly plausible.

Given Schubert's evident interest in harmonic planning in the wake of his composition of *Die Zauberharfe*, it is unsurprising that his planning of *Wolkenmädchen* around the augmented triad is mirrored by a scene which is organised around a diminished seventh. The manner in which it is used is unsurprising too, for just as diminished sonorities denote actions of evil characters and shock events in *Freischütz* (not to mention every other Romantic opera) these and tritone gestures run through Adolfo's scene with his conspirators. Indeed the descent from E major (the key in which the opera will triumphantly conclude) to B major (the key of those who threaten this conclusion) is negotiated via the transformations of diminished sevenths (E+ \rightarrow E- \rightarrow dim 7th \rightarrow V⁽⁷⁾ \rightarrow B- \rightarrow dim 7th \rightarrow b: F^c \rightarrow V \rightarrow D). All the way through this scene tritones are associated with Adolfo (b.170-71 preceding 'Nun fehlt Adolfo noch') and appear within his own aria (b.249-252 D_b \rightarrow G / E \rightarrow B_b). It is hardly worth enumerating the many instances in the opera as a whole where the diminished seventh occurs as a gesture associated with Adolfo's conspiring but they often occur at moments which upset a plateau of stability. As news arrives of Adolfo's betrayal, Mauregato announces his shock through unfolding three diminished sevenths (Example 3.2.6). In the Act III Finale following the recapitulation of the 'Hymn of Praise' in E major, Adolfo arrives as an unresolved strand of plot with his obligatory diminished seventh and drives the action on.

⁵⁷ F \rightarrow D_b (recit.) D_b \rightarrow (V $\frac{0}{9}$ / V – Ic – V) B

Messenger

Mauregato

Haupt!

A - dol - fo? nim-mehr, du lügst, du

Glau - be mir, dass es Wahr - heit

lügst es kann nicht sein.

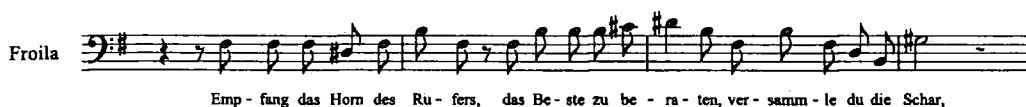
ffz *p* *cresc.* *ff* *fz*

Example 3.2.6

While the diminished seventh is associated with evil and conspiracy and the augmented triad is associated with the otherworldly and *Märchenhaft* which never penetrates the fabric of the opera which surrounds it, the diatonic major triad as heroic and good is made the subject of musical discourse by Alfonso's horn which summons Froila and his army. It is heard both as the horn call at the beginning of No 30, and as the arpeggiated figuration which accompanies both mentions of the horn itself (No 3 bb.198-200 and No 29 bb.89-92; Example 3.2.7). All of these associations are of course highly conventional; even the link between the augmented triad and magic can be found from Rimsky-Korsakov to Dukas.⁵⁸

⁵⁸ While early nineteenth-century examples of this are hard to find, later ones are not so difficult. Taruskin makes the connection with Russian music but suggests links with Schubert. [Taruskin, (1985), 93.] The incantation motive from 'The Sorcerer's Apprentice' is perhaps the *locus classicus* of augmented triad as symbolic of magic.

No 3: bb.98-201



No 29: bb.88-92



Example 3.2.7

Adolfo's conspirators scene is one of the opera's longest stretches of through-composed music (that is to say music without recitative). Harmonically it is extremely restless; its transformations and inflections are persistent and the keys which are reached are often unstable or paired with their relative major/minor. However, the result is the feeling of an unfolding diminished seventh key scheme similar to that of Weber's *Wolf's Glen* scene. Although it is not known when this number was composed, Schubert dated the beginning of the second act 18th October 1821, barely two weeks before he saw Weber's opera in the bastardised form left by the censor.⁵⁹ Consequently he was composing this number at around the same time and there is a strong possibility of influence.

Schubert's key areas unfold primarily around the following keys B-/D+, F+, D+/B-, B+/G#- (see **Table 2**, page 179). In terms of outer form, this scene is remarkably schematic. The action is articulated in four principle sections: Choral Introduction; Adolfo Introduction and Aria I (ABA); Adolfo Aria II (ABA); Closing Stretta. Each of these sections treats a different dramatic event and each arises from the previous one with remarkable fluidity. The Introduction begins a little ambiguously with the identity of the conspirators undisclosed until a second group arrives. Upon the arrival of the chief conspirator, Adolfo, a conventional 'Vengeance Aria' ensues. This leads into a further aria in which he narrates how Mauregato took the throne and how he owes all of his success to Adolfo. Finally the closing stretta asserts Adolfo's decision to kill Mauregato, punctuated by the choruses cries of support: 'Wir schwören!'.

⁵⁹ This Vienna production famously omitted the actual casting of bullets from the *Wolfsschlucht* scene. Warrack (1968), 274.

A graphic analysis of the whole of this number is at first rather perplexing. A closer look reveals however how Schubert articulates both dramatic climaxes and subtleties of plot. Chorus A (bb. 17-74) is dramatically static in b/D. This section gives way to an ascending progression (8-5-8-5) during which the chorus ask who is knocking outside. At the initial climax of this progression the second chorus answer with a cry of 'Freunde' on C major. This is followed by a chromatic shift up to C# ('Eure Losung' – 'Your password') and thence to D(V $\frac{0}{4}$ - I) over a pedal d for the response 'Rache'. The climax strikingly contrasts the diatonic C major 'Friends' with the dissonant diminished 'Vengeance'. The second group of conspirators are permitted entry and drawn into a recapitulation of Chorus A. The next transitional section (Chorus C) leads sequentially (6-5-6-5) towards Adolfo's entry in F via an enharmonic shift from C# to a german 6th on D \flat . Thus the whole section articulates 2 periods of stability with 2 successive periods of instability as new groups and characters enter. Taken together these articulate nodal points on an ascending diminished seventh b, D, F.

Example 3.2.8

By way of contrast, the closing stretta also articulates nodal points of a diminished seventh, this time however B, G#, D, but underscored instead by a descending progression (b a# g# f# e d) in the lower voice (c.f. bb. 426-453). Musically this is an appropriate 'answering figure' to the ascent(s) of the opening choral section. Dramatically it is may be considered an appropriately iconic depiction of the 'Fall' of Mauregato, also found in the chromatic descent of strings and trombones in the closing bars (bb.500-504; Example 3.2.8).

Although Adolfo's first Aria is heavily chromatic it falls basically into an ABA form with the B section primarily in the subdominant. The angular tritone line (b.249ff) and a series of chromatic 'L' transformations which precede it are indicative

of the general tone contrasting with the simple lyricism which pervades much of the rest of the opera. (Furthermore, the ascending chromaticism of the opening of the B section underscores the irony that the corrupt Adolfo describes the pure Estrella as a 'süsse Schlange'.) The return of A is preceded with a perfunctory cry of 'Rache' (b.277-279)

300

Adolfo

303

Ihr Freun - de ihr mein Hort, die

Example 3.2.9

It is with Adolfo's second Aria (bb.303-425) that things begin to get more interesting. Having established a key scheme which unfolds around a diminished seventh above the home key, the area in which the Stretta also closes, Schubert continues by subverting rather than affirming this scheme. Thus the arrival of D_b+ at the beginning of Adolfo's second aria is the first truly disruptive event of the number (Example 3.2.9). Musically this is heard as disruptive for two reasons. Firstly, it follows B-/D and F major at the point where we might expect $G\#-/A_b+$ to follow in the pattern of ascending minor thirds. Secondly, the absence of this key is underscored by the sounding of an A_b , heard prominently as in the bassoon line as a nagging reminder of the path we haven't taken. If we do not initially hear this as the 'wrong' key, the return of this second A theme puts us right by recapitulating in D, i.e. returning to the realm of the prevailing diminished seventh.

The deliberate misplacement of the beginning of Adolfo's second A section has certain dramatic implications. It is in this second Aria section that Adolfo begins to narrate the prehistory to Mauregato's reign, recalling how he cruelly overthrew the good and pure king Froila. Here we must surely recall Chambers' comment that narration is not innocent, but rather an act which establishes a relationship between

narrator and narratee.⁶⁰ This is exactly what Adolfo is doing here, for by narrating the circumstances of Froila's demise he attempts to paint Mauregato as the enemy and ally himself with the usurped paragon. He even drops his chromatic angular line and the familiar martial motive for a diatonic fanfare like motive more reminiscent of the good characters and heroic acts of the opera (see again Example 3.2.9). Despite this shift to D flat, Adolfo still outlines a diminished triad, only this time within the new key area ($B_b \rightarrow D_b/C\# \rightarrow E, bb.$ 319-327). The return towards the 'home' key system ($B/D/F/A_b$) coincides with the turn from narration to action, past to present. At this point there is a shift of the narrative spotlight onto Adolfo himself concluding with the exchange:

Adolfo: Wer führte seine Schlachten?

Chorus: Du!

Adolfo: Wer lenkte seinen Rat?

Chorus: Du!

Adolfo: (Return to A section now in D+) Ja, mein ist alle Tat.

The conclusion in D major brings us from Adolfo's narrated past into the conspiratorial present and reminds us musically and textually of his villainy. For as Mauregato's general Adolfo has been complicit in Froila's demise: 'It is all my doing!' he cries. The act of transposing the recapitulation is heard as musically dramatic not only because it returns Adolfo from a 'false' key to an appropriate one, but also because of the schematic nature of the discrete units of this number. Both the Chorus and Adolfo's first 'Vengeance Aria' articulate ABA forms in which A is repeated fully and in the correct key. Thus, this crucial second aria is set in relief not only tonally but through the disruption of an established form.

At this point all that remains is the final return to B major in which the chorus swears to aid him in killing Mauregato. The route by which this is achieved is rather convoluted but takes in a modulation to D_b for a mention of Mauregato's Triumph. The closing Stretta (*Allegro Molto*) brings the scene to an unambiguous climax, one reminiscent of a Rossinian Cabaletta. The inflections to the minor third related keys $G\#$ minor and D major are equally unambiguously staked out by the choral interjections 'Wir Schwören' and 'Es falle Mauregat'. And the descending inner voice and falling chromatic strings discussed above round off the scene conclusively.

⁶⁰ Refer above to page 149.

Although this scene owes its drama in part to reminiscence motives associated with Adolfo and the triadic gestures he appropriates to narrate the history of Froila's dethronement and distinctive orchestration, the primary successes of the number are those of harmony and form. The underlying diminished sonorities both set the tone of the scene and provide a harmonic framework within which implications are fulfilled and denied, implications which arise from the expectations of simple formal schemas. Within the harmonic scheme which Schubert sets up, moments are set in dramatic relief, creating waves of tension and relaxation, truth and falsehood in narration are conveyed through illuminating similar material in different tonal perspectives and closure is triumphantly recognisable.

The numbers from Act II represent two rather idiosyncratic approaches to the problem of operatic form. Even the Act I Finale, while unfolding its own musical logic, squeezes an extra key area into its conventional scheme before Mauregato comes to his decision. Despite these idiosyncrasies, much of the rest of the opera betrays the influence of a variety of operatic models. Walther Dürr remarks, for example, on the Rossinian Cantabile-Cavatina-Cabaletta form of Froila's Act I Aria (No 2)⁶¹, while McKay notes a certain affinity between Schubert's general ensemble technique and that of Rossini.⁶² An element of Beethovenian influence can be found in the canonic section of the Act I finale, which may put one in mind of the Act I Quartet of *Fidelio*, although this 'ensemble of perplexity', to use Dent's term, has its origins as far back as Scarlatti.⁶³ The importance of the chorus may betray some Gluckian influence, perhaps imparted through Salieri, or perhaps through the advice of Mosel's *Versuch*.⁶⁴ However, the tone of the choruses themselves is not as Gluckian as those of *Die Bürgschaft*, where direct influence is more immediately audible. These choruses are perhaps more reminiscent of Italian opera of Spontini, while a French strand of influence is confirmed by the 'rescue' aspect to the action of

⁶¹ Dürr (1997), 93.

⁶² Norma McKay, E., 'Rossini's Einfluss auf Schubert', *Österreichische Musikzeitschrift* 18 (1963), 17-22.

⁶³ Dent, E., *The Rise of Romantic Opera* (Cambridge, 1979), 53.

⁶⁴ Mosel writes for example: 'A pious group assembled praying on its knees before an altar, a band of warriors singing victory songs with courageous enthusiasm, a people moved by rejoicing or pain, will always be able to bring about a more powerful effect than the pious song of only one voice, the war hymn of one soldier and the joy or lament of a single character. . . .' In *Alfonso und Estrella* we find examples of all of these, although it is perhaps a little far-fetched to attribute the presence of these to Mosel's influence.

Act III. The multisectional Finale of the Opera Buffa is also apparent especially at the close of Act I. And yet despite these mainstream influences, lighter Singspiel-like numbers in the vein of Weigl and Gyrowetz, such as Alfonso's arias (Nos 5 and 13) and some of Estrella (e.g. No 21), are widely in evidence.

While in this opera, Schubert shows evidence both of an awareness of operatic conventions, and of the development of a more personal language, history has nonetheless pronounced the end result to be unsatisfactory. The failure is conventionally attributed to a variety of factors. Firstly, Schubert failed to grasp the importance of recitative in opera of such a scale.⁶⁵ The relative absence and/or brevity of recitative sections leads to problems of pacing the action and of monotony. Secondly, the libretto often creates either a lack of tension, an unbearable stasis or, worse still, dramatic nonsense. The large scene between Alfonso and Estrella in Act II suffers from the former two faults; most importantly there is little genuine dialogue between the characters but also the encounter between the two elicits no real drama or conflict.⁶⁶ The general lack of action is epitomised by the two heroic characters (Froila and Alfonso) who throughout the work remain impotently passive – figures to be praised and respected rather than true agents of action. The Act I finale may make musical sense but the recapitulation of male and female choruses makes little dramatic sense.⁶⁷ Strands of the plot get lost as the opera progresses;⁶⁸ Froila's quest for revenge on his usurper is a case in point for this theme is no sooner raised than it is abandoned.

Thirdly, there is a problem of tone. In his *Versuch*, Mosel gives what would appear to be a fairly fatuous piece of advice: 'That expression should be based not on the *words*, rather on the *ideas* – that no representation should be allowed to developed which is negated by or taken out of the speech – need hardly be explained.'⁶⁹ And yet Schubert does exactly what Mosel warns against. As McKay observes, he sets Alfonso's Act I Aria in a pastoral vein, even though Alfonso is singing about his desire to escape the valley!⁷⁰ This is perhaps another aspect of the Biedermeier

⁶⁵ Denny (1997), 231.

⁶⁶ As Waidelich puts it 'characters monologise beside each other'. (1991), 193.

⁶⁷ Denny (1997), 232.

⁶⁸ Waidelich (1991), 114.

⁶⁹ 'Dass der Ausdruck nicht auf *Worte*, sondern nur auf *Ideen* gelegt werden könne, dass keine Vorstellung ausgebildet werden darf, die in der Rede verneint oder aufgehoben ist, bedarf kaum einer Erwähnung. . . ' Mosel (1813), 34.

⁷⁰ McKay (1991), 219.

temperament of the work – the preference for the pastoral topics over military ones – and thus it is indicative of a general trait of the opera, the Singspiel-like tone of many of the numbers. Although this opera was the only completed stage work which was totally through-composed, Liszt took the unusual step of describing it as ‘in the full sense of the word a Singspiel, [one which] is constructed of a series of simple, beautiful and melodically expansive song numbers.’⁷¹ Indeed it is perhaps the work’s naivete which led Liszt to wrongly attribute the opera to 1818, as an experiment of a youthful composer it is perhaps more excusable. Perhaps Schober would have encouraged this misconception for he described the work to Ferdinand Schubert as ‘written in very great innocence of heart and mind’.⁷²

If Schubert’s success in this work was one of harmony and tonal planning, his failure was one of rhythm. In the wake of his harmonic experimentation in *Die Zauberharfe*, Schubert constructs a magical *märchenhaft* harmonic space (in the hexatonic realm of the *Wolkenmädchen*) and a conspiratorial one (in the diminished key scheme of the *Verschwörungsszene*). The pacing of the drama in the former number was a product of harmonic allegory, describing arrival, gazing and ascent as discussed above. In the latter, the movement in and out of the governing diminished key-system (B/D/F/A_b) shapes the narrative strategy of an extended scene as Adolfo adopts an inappropriate foreign key area and topical guise in order to portray himself as ‘the hero’ and narrates his way back to the primary key-system which denotes his actual evil and villainy. Care in tonal planning is also evident in the Schubertian associations of certain keys. Long-range tonal planning also shapes large scene complexes such as the Act I finale into coherent dramatic wholes.

The ‘rhythmic’ failure of the work is threefold. Firstly, the term ‘rhythm’ can be invoked metaphorically; in problems of pacing which are a product of Schober’s impoverished libretto (and Schubert’s uncritical setting of it), the result is an absence of dramatic rhythm. The flow of the plot is retarded by scenes of reflection and these long periods are uninterrupted by dramatic climaxes which would inject life into the action. Secondly, the relative lack of recitative or arioso sections can be understood as a problem of rhythm. On the one hand it contributes to the lack of pacing (our first rhythmic problem) but on the other it limits the range of expression of the singing

⁷¹ ‘... im vollen Sinn des Wortes ein Singspiel. Das Werk besteht aus einer Folge von leicht, schön und melodisch breit gehaltenen Gesangstücken.’ Liszt (1881), 72-73.

⁷² Deutsch (1958), 420.

characters. Thirdly, there is a problem of phrase structure. If Schubert adhered to any of Mosel's advice, it was evidently that 'melody – where not displaying restlessness of mood, stormy passions etc. – should be constructed of precisely symmetrical masses.'⁷³ And given the absence of either dramatic shocks to disrupt the calm or recitative to upset the periodicity, the result is two and a half hours of *Singspiel*-like numbers constructed according to four and eight-bar phrases. It is small wonder that Liszt cut as much as he did for the effect is arguably mind-numbing. It was thus perhaps the absence of rhythmic variety and dramatic flow which led Schubert to understand the stage-effect of a poor libretto and the need for a wider range of declamation and a more adventurous approach to phrase structure. As we will see in the next section, by the time Schubert began work on his next opera, he was ready to address these problems fully.

⁷³ Mosel (1813), 18.

Table 2: Adolfo's Conspiracy Scene

Bar	Key	"Section"	Text	Drama
1	E- →		Orchestral Introduction	
17	B-/D	Chorus A	'Stille Freunde...'	Conspirators urge each other to stay quiet
73	→	B	'Hört das Klopfen'	Someone knocks outside – more conspirators
113	B-/D	A	'Stille Freunde. . .'	As 17-73
171	→	C	'Nun fehlt Adolfo'	Adolfo's absence is observed.
197	F	Intro to Aria I	Ihr Treuen	Adolfo arrives...
227	F	Aria I A	'Ja meine Rache . . .'	... and vows revenge on Mauregato.
241	→	B	'Um meine Schultern will ich....'	He will usurp the throne . . .
261	→	B	'Und du Estrella'	... and take Estrella by force
281	F	A	'Ja meine Rache ...'	As 227ff.
291		coda	'und deinen Szepter....'	
302	D _b	Aria II A	'Ihr Freunde. . .'	Introduces his narration
319	→G _b	B	'Ja wis-set daß auf eurem Throne. . .'	Narrates circumstances of Froila's betrayal....
	D _b	B	Und Mauregato stieg . . . bis ich	... and begins to show his true colours.
384	D/B-	A	'Ja mein ist alle Tat'	Sings 'It is all my doing'
426	B+/ G#-/D	Stretta	'Ihr Tapfern, ihr Getreuen, ihr seid Adolfos wert...'	Praises his followers, vows Mauregato's death.

Example 3.2.10

[illegible]

255 258 261 265 270 281 Adolfo I: A

Ic V VI Ic V I ii V I ii Ic V I ii Ic V I V° V F I V I V^7

300 303 Adolfo II: A 313 319 320 Adolfo II: B 325

I D I IV I V i iv V i V° I IV I V I ii b V I B i D vi ii V I i E vi

327 331 353 358 362 365

ii V I G ivb iii vi ii Ib V I V vi ii V $C\#$ i E iv ii Ib V I D V^7 i F iv ii Ib V I dim^7 I Ic V vi IV

[illegible]

Adolfo II: Trans

399 406 413 419 423

I V I iib V I

III V_4^0 bVI V_3

VI_3^4 V_4^0 V_3^4

ii V_3^6 I IV V I V V_4^0 V_3^4

VI_3^4 I

vii VI_3^4 ii V_3^6 I

II_3^6 V I

→ C

[illegible]

3.3 O welch entzücken!: Die Verschworenen

Hier ist eine, meine Herren! . . . Lasst uns etwas für die eigentliche deutsche Oper tun, meine Herren!¹

Although the failure of many of Schubert's operas can be attributed to the composer's choice of poor librettos by inexperienced hacks (Stadler's *Fernando*, Schober's *Alfonso*, Mayrhofer's *Adrast* are the most obvious examples), that of the 1823 Singspiel *Die Verschworenen* (The Conspirators), retitled *Der häusliche Krieg* (Domestic Warfare) to appease the censor, cannot.² Indeed, the later popularity of this stage work above all others save the *Rosamunde* music, is testament enough both to the compositional maturity which Schubert had attained following his earlier stage works, and to the careful design of the libretto. Castelli, who was the librettist of such significant works as Weigl's popular *Die Schweitzerfamilie*, presented *Die Verschworenen* to the Viennese composers as a sort of challenge to those who had previously lamented the dearth of good libretti; his preface to the work, given at the head of this section, reads: 'Here is one, gentlemen! . . . Let us do something for true German opera!'. . .

For Hanslick, the simple dramatic conflict of this Singspiel, and the narrow expressive range from cheerfulness to melancholy which lent itself easily to a 'string of musical pearls', made *Die Verschworenen* Schubert's one true dramatic success.³ Although Hanslick was loathe to describe the music as truly dramatic, he did at least deem it to be appropriate to the simple libretto. Many of the shorter numbers of *Alfonso und Estrella*, especially duets between principle characters, fall down due to a lack of genuine interaction between characters. (As Waidelich puts it, 'Characters "monologise" next to each other.'⁴) Even though the dramatic stakes are higher in *Alfonso* – Estrella may end up being forcibly married, Mauregato slain, Alfonso denied his birthright – the comic trajectory of Castelli's one-act farce affords more opportunities for dramatic numbers and play with operatic conventions.

¹ Castelli, I., Preface to '*Die Verschworenen*', in *Dramatisches Sträußchen für das Jahr 1823*, cit. McKay (1991), 231.

² While Peter Branscombe praises Castelli's libretto above all the others Schubert sets, he observes that even Körner, who had no personal connection to Schubert, was overrated due to patriotic fervour which resulted from his untimely death. 'Schubert and his Librettists - I', *The Musical Times* (1978), 943-47.

³ Hanslick (1884), 161.

⁴ Waidelich (1991), 193.

Castelli's libretto is a much sanitised version of Aristophanes comedy *Lysistrata*, set not in ancient Greece but in Vienna at the time of the crusades and shorn of the pervasive lewdness of the original, which contains bawdy references to female masturbation and is shot through with phallic imagery. In this sense the play is tamed for the Viennese stage, a typical Biedermeier creation of the triumph of the asinine over the dramatic. And yet there are other stronger senses in which the play is Biedermeier, most notably the latent trajectory of the drama as a whole. Despite the characteristic Romantic setting of the chivalric past, the one act comedy embodies the values of Biedermeier Vienna and in this sense the censor's second title is oddly appropriate. For the battles of this short singspiel are in the true sense domestic [*häusliche*] battles, as is the resolution with which the play concludes. While the outcome of a Romantic opera is invariably tragic/transcendent, the conclusion of the Biedermeier drama is (as we have seen in section 2.5) generally a return to the limited domestic stability with which the play begins. Indeed, here there is barely an actual battle to be found. Rather, men and women attempt to outwit and outmanoeuvre each other and both must ultimately recognise their own follies.

While the stock-pile of genres and topics of this opera is that of Romantic opera – the military march, the Romanze, the conspirators chorus, the love duet – these too become 'tamed' in quite specific ways. In section 2.4 we briefly discussed the expressive range of the march topic. From the mid-eighteenth century to Mahler, military topics have accrued different meanings according to their different contexts and varied manners in which they are treated or troped. From the comic-ironic theatrical tableaux (in Mozart's *Figaro* and *Così*) to the 'dysphoric'⁵ fanfares of Mahler, the meaning of the March topic is evidently highly unstable. Monelle points out that the marginalisation of actual marching cavalry in eighteenth-century military activity, renders the musical topic rather impotent. (Associated with a compromised masculinity of bright clothing, pomp and display, it is actually rather fitting for a Cherubino.⁶) Alternatively, it may denote nobility of a character; the command a marching army is a mark of status. Indeed we will find this in the grand military tableaux of *Fierrabras*; here the march denotes the nobility of Karl. Even in Schubert, however, military topics have a wide range of potential meanings. Military fanfares as phenomenal music signalling arriving armies are found in *Fierrabras* and *Die*

⁵ Monelle (2000), 36.

⁶ Ibid. 38.

vierjährige Posten and have their immediate origins in *Fidelio*, as well as in French operas before this. However, the military march has its own peculiarly bourgeois connotations from its use as the typical genre for typical four-hand piano work. Its expressive value lies somewhere between didactic *Hausmusik* and the banal drunken 'kitsch' side to Schubert's musical personality which Adorno identifies.

It is against this background of topical meanings that we hear the marches of the opera. In agreement with Monelle's assertion, none of them denote actual military activity. The battles themselves are never at issue, for all action of any sort is purely domestic. The purest use of the march as a display of military force is sung by the *Männerchor* (No 5; Example 3.3.1). This chorus begins with the same upbeat figure as that of the women (No 3; Example 3.3.2). The female chorus, however, is inflected in two different ways. While it is rhythmically possible to move in step to the foursquare march of the male chorus, the rhythmic symmetry of the female chorus is not sustained. The fourth bar becomes reinterpreted as a downbeat on which a comic contredanse-like topic begins.⁷ While this adds a suitably comic touch to an already compromised military topic (Monelle describes this type of 'good-natured' march as having a 'diminutiveness [and] toy-like quality'⁸) the march is also inflected in bar 3 with a gesture of (feminine?) resignation, Hatten's chromatically descending bass,⁹ underscoring the progression $\text{II}^6 \text{V}^4 \text{I}^6$. The subtleties of Schubert's semiotic language are such that a few bars of music convey a call to arms, a gesture of (feminine) resignation, an edge of the countess's nobility (for it is she who has called her women to battle) and a comic debunking dance.

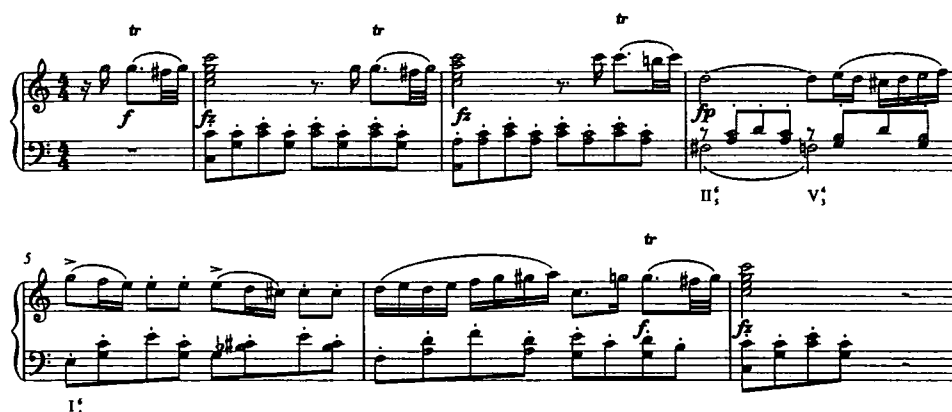


Example 3.3.1

⁷ The connotation of the contredanse pricking nobility is familiar from the concluding stretta of *Figaro's* 'Se vuol ballare'. Allanbrook (1983).

⁸ Ibid. 38.

⁹ Discussed above in connection with Franz's *Zwillingsbrüder* aria, this type of gesture denotes for Hatten a reversal of implication and a consequent lapsing or willed resignation.



Example 3.3.1

While this may serve as a good example of the developing subtleties of Schubert's semiotic language, it is perhaps in the field of rhythm that we see the most impressive development of his style. In these larger choral scenes we often find examples of singing which is more declamatory against a lyrical orchestral background. More speech-like declamation is used in dramatically appropriate situations. One such type is where major characters address groups of people (e.g. the F major Allegretto section of No 3 in which the Countess takes a role call of those present). Another type is when a character is unable to speak through shock (e.g. the finale prior to the entry of the women, when the Countess believes she is going to be unmasked as treacherous to her own cause). The technique is familiar from similar moments of shock of Mozartian *Opera Buffa* and indeed there are over familiar reminiscences of Mozart in this work, most notably in Helene's *Romanze* 2, which is undoubtedly modelled on Barbarina's Cavatina of the same key from Figaro Act IV. Thus Castelli's drama necessitates a wider range of declamation, producing an audible relief from an hour of cheerfully symmetrical lyricism.

This wider expressive range of declamation is a feature of Schubert's development generally. The lieder of *Die schöne Müllerin* D.795 of the same year exhibit similar moments in which the lyrical gives way to the declamatory.¹⁰ But it is not just vocal style which becomes more rhythmically interesting, for around this time we see a developing sense of phrase construction. Arnold Feil's study of rhythm in Schubert begins with the same song cycle.¹¹ Schachter observes expanded and contracted phrases as expressive devices in the *Wandrer's Nachtlied* D.768 which

¹⁰ The example of 'Der Neugierige' has already been cited. The quotation of the Miller from 'Am Feierabend' is another such moment.

¹¹ Feil (1988).

belongs some time before 1824.¹² The sixth of the *Moments Musicaux* D780, which exhibits a variety of rhythmic idiosyncrasies, belongs to December 1824. And *Der Musensohn* D.764, whose retardations and expansions musically embody the poet's objection to the flow of time, dates from December 1822.¹³

As observed above, a major dramatic failing of Schober's *Alfonso* libretto is the lack of genuine interaction between characters and a resulting dramatic stasis. By contrast, Castelli's libretto provides no such dramatic problems. We may observe this in the two duet numbers of the Singspiel. In the first, Udolin and Isella, the servants of the Count and Countess, are reunited after a long period of separation. They first express surprise and delight at their sudden reunion, then quiz each other on their faithfulness during their time apart, and finally promise never to leave each other again. In the second, Astolf and Helene, having both been ordered to remain apparently indifferent to each other, instead seek each other out (for as they exclaim 'love is not bound by a word or a promise'), discover each other, and sing happily together. Both duets trace a simple dramatic arch from separation to union and, as we shall see, Schubert expresses this dramatic trajectory through rhythmic means.

The opening number¹⁴ appears to take its time getting properly underway. The main theme proper, tonic anchored and based on the opening triadic gesture, does not appear until bar 46, after an initial period of instability. Up until this point there has been no firm assertion of the home key of A since the fourth bar of the orchestral introduction. As soon as the opening chord has been outlined, it is chromatically altered to become an augmented triad on A; following a further move to vi, Schubert subsequently leans so heavily on the secondary dominant II⁷ (V⁷/V) that we find ourselves unexpectedly but forcefully in E and might retrospectively reinterpret the whole progression up to bar 22 as E: IV - ii - V - I.

One might try to understand the expressive force of this opening in terms of harmony alone; the surprise of reunion is metaphorically the surprise of arriving on the dominant and, as this feeling subsides, we slip into the home key proper. To do only this is to miss what is rhythmically at work in this number. In contrast to the relentless four-bar phrases of *Alfonso* and *Estrella*, Schubert opens this work with nothing which really resembles a phrase. Bars 1-2 could constitute an opening

¹² Schachter (1999), 89ff.

¹³ All dates are taken from Deutsch (1978).

¹⁴ Only a fragment of the overture remains, while the rest of the work is intact.

gesture but, in the absence of tonal or even melodic motion, not a phrase.¹⁵ Bars 3-4, 5-6, 7-8 are discrete melodic units, but owing to the chromatic motion and lack of an obvious goal it is difficult to hear them subsumed within anything larger that we might reasonably call a phrase. Nor, at this stage, can we hear hypermeasures greater than two bars in length. Bars 13-17 and 18-22 are the first real phrases but the five-bar pattern is not maintained. Rather this dissolves into two two-bar phrases upon which the hypermetrical beat number shifts from 1 to 2 (b.26 of Example 3.3.3, printed at the end of this chapter). As we head towards the stability of the tonic, four four-bar phrases emerge, but even this new hypermetrical stability is undercut (b.42). Only in the full strophes of both characters do we reach the stability of 8-bar parallel periods which are now heard as a relief from the previous instability rather than as a constant assault on the ear. Thus, on first hearing, the opening 45 bars are heard as little more than a complicated mess within which different five-bar, four-bar, two-bar (and one-bar) phrases jostle to establish a pattern and a sense of hypermetrical stability and fail to do so until the entry of the main material. Heard in this way, the rhythmic layout of the opening reflects the characters attempts to articulate their surprise and bar 46 is the point at which they manage to do so. Consequently the trajectory of musical devices mirrors the shape of drama of the number of the whole. The opening section denotes surprise and the inability of the characters to articulate their thoughts. The conclusion (b.143ff), by contrast, conveys unity of purpose as the pair sing conventional parallels and the same words and rhythm in full balanced phrases. There is, however, a more positive way in which to hear this opening section which we will explore shortly.

In the middle of the number, phrase structure is still an active creative force associated with the comedy of the number. Here Udolin and Isella challenge each other's faithfulness in word and deed, and at the last question of each character, 'Never faltered/Never clouded?', Schubert writes a composed out rhythmic fermata which parallels the actual written one which ensues (bb.100 & 127). While these phrases are expanded via simple echo repetition, the rhythmic effect is that the music pauses on the third and fourth beats of the four-bar hypermeasure, delaying the affirmative response of each: '. . . you ask a lot, but yes! this too!' (Example 3.3.4).

¹⁵ We may recall that for Rothstein a phrase exhibits a complete melodic, and preferably tonal, motion.

Example 3.3.4 is a musical score in G major (one sharp) and 4/4 time. It consists of two systems. The first system has three measures, with the vocal line starting on 'Nie' and the piano accompaniment providing a steady eighth-note bass line. The second system has four measures, with the vocal line continuing the phrase. The piano part features a 'cresc.' (crescendo) marking in the second measure and a 'p' (piano) marking in the third measure. The lyrics are: 'Nie ge-wankt in dei - ner Treu - e nach der bö - sen Män - ner_ Brauch, nach der Män - ner Bö - sen Brauch?'.

Example 3.3.4

A further example of a rhythmic retardation for expressive purposes occurs in the concluding verse over the words 'Denn Scheiden fällt schwer', ['for parting is so dreadful'] on the relative minor. Here there is an augmentation (x2) of harmonic rhythm (and established melodic rhythm) in the opening bars and an echo repetition of the following two-bar phrase. In Example 3.3.5 the potential prototype is given below the actual realisation.

Example 3.3.5 presents two versions of a musical phrase in G minor (three flats) and 4/4 time. The top version is the 'actual realisation', which includes a vocal line and a piano accompaniment. The piano part begins with a 'cresc.' (crescendo) and a 'f' (forte) dynamic, followed by a 'pp' (pianissimo) dynamic. The bottom version, labeled 'Potential Prototype', shows the same phrase but with a more regular harmonic rhythm. The lyrics for both are: 'denn Schei - den fällt schwer, denn Schei - den fällt schwer, Ja wir_ denn schei - den fällt schwer,'.

Example 3.3.5

To return to the opening, this section (bb.4-45) can be heard, not simply as irregularity in the run up to domestic harmony, but as something more positively

creative. Schubert's constant reluctance to close on the tonic, or to complete a phrase without eliding it into the next one, suggests to us that we might hear it not as a series of incomplete phrases but as one large gesture. Thus to draw on our discussion of 2.3, if the condition of the lyrical is to suspend the flow of time, then a massively expanded phrase heightens that suspense to create a moment of timeless tableaux. The implication of this is that the opening is one large expanded phrase. This raises the question of a prototype; if this 40-bar section involves the composing out of a basic phrase, what is the nature of the unexpanded prototype, the basic phrase from which this section derives? Because this large section occurs at the beginning of the number, it evidently does not expand or elaborate a previously existing model.

a)

bar: 1 5 9 13 16 23 28 32 34 36 40 46

I - #s vi II V vi ii₅⁶ V I V⁷ I₁ V₅⁶/V I_c V I V⁷ I₁ V₅⁶/V V - 7 I

b)

bar: 1 5 9 22 42 46

I vi II V 7 I

Example 3.3.6

In order to understand the nature of the expanded phrase, we must look at a middleground reduction of the section (Example 3.3.6). The move from I to vi is mediated by a chromatic passing tone. What is initially heard as II gradually attains a dominant function, not least because of the retardation of harmonic rhythm, from a change every 2 bars (bb.3-4, 5-6, 7-8) to a change after five (bb.9-13). With the entry of the soloists, the ensuing progression asserts the tonicisation of E major by means of a shift to vi/V (marked in the reduction as a structural neighbour note). Subsequently there is an emphatic prolongational voice-exchange on the secondary dominant II₅

/E, and this whole section (marked by square brackets) is repeated with the voices of the singers swapped over. Having reached a climax on V, this is prolonged by the upper neighbouring function of vi which resolves first through a diminished seventh to Ic-V-I of the home key, and thence repeats to resolve to $V^{-7} \rightarrow I$.



Example 3.3.7

The progression underlying this section can be understood as $I - vi - II - V^{-7}$ and is given below the first graph as Example 3.3.6b. Understood in this way, the phrase makes a little more sense, for it has an exact counterpart at the moment before the point of 'recapitulation' (bb.135-42; Example 3.3.7). Here, however, there is no expansion as such, and the whole eight-bar phrase is firmly weighted towards the dominant seventh half close. Interpreting this phrase as a possible prototype for the introduction, we can hear the whole opening passage as a series of different types of phrase expansion as codified by William Rothstein.¹⁶ Thus, bars 1-2 are a prefix (Riemann's *Vorhang*);¹⁷ bars 3-4, 7-8 and 9-12 are all an augmentation of the first four bars of the prototype, while bars 5-6 are a chromatic interpolation on $I^{\#}_{\frac{3}{2}}$, an *Einschaltung* (Riemann) or *Parenthese* (Koch). (Refer again to Example 3.3.3.)

Two further types of expansion are initiated by the two interrupted cadences on vi/V and vi/I. The first of these is further expanded through repetition of the same phrase (bb.13-17, 18-22); 'echo repetition' is considered by Kimberger and Koch to be a species of phrase expansion (although both point out that repetition within a phrase need not denote expansion, but can involve filling out a phrase to its proper length, typically 4 or 8 bars).¹⁸ After treading water on an arpeggiation of V^7 (bb.23-26) which threatens to lead home, the second expansion, that beginning on vi/I, gets underway. Here we encounter the longest phrases of the piece so far, two segments of 8 bars which form the antecedent and consequent of a parallel period. As a full coherent unit, it is perhaps difficult to hear this period as subsumed within a larger

¹⁶ Rothstein (1989), see esp. Chapter 1.

¹⁷ Ibid. 70.

¹⁸ Ibid. 65-66.

hypermetrical structure. Again we turn to Riemann for validation, for he asserts that it is quite possible to hear complete eight-bar periods interpolated within larger phrases in such a way that the hypermetrical ‘counting’ of the surrounding passage still makes sense.¹⁹ Furthermore this type of phrase expansion, when used precidentally, is a typically Schubertian device; it is the Toveyan ‘purple patch’ considered in terms of phrase structure rather than harmonic distance. The purple patch, from the *A_b Moment Musical* can be thus understood as subsumed within an eight-bar hypermeasure; we may count the surrounding bars as if the interpolation was not there (Example 3.3.8).

The image displays two systems of musical notation for piano. The first system begins at measure 62 and the second at measure 69. The notation includes treble and bass staves with various musical symbols such as notes, rests, and dynamic markings. Brackets and numbered boxes (1, 2, 3, 4) are used to group measures, illustrating hypermetrical structures. Dynamics like *ff*, *p*, and *pp* are indicated. The second system includes a *pp* marking and a sequence of numbered boxes (1, 2, 3, 4) with some containing sub-numbers in parentheses.

Example 3.3.8



In some ways, this interpretation of the opening may appear rather spurious. Schubert is not expanding a pre-existing phrase in the same way that he does so in the B section of the String Quintet Slow Movement, as discussed by David Beach.²⁰ What is clearly evident, however, is that the underlying middleground progression is the same one as occurs immediately prior to the ‘recapitulation’. As the opening it lasts for 45 bars, whereas in its later guise it occupies only eight. We can thus hear the opening section as a large scale upbeat to the duet proper. Furthermore, although it is a matter of interpretation how we relate these two phrases to each other, it is evidently important to recognise their identity. In terms of both tonal structure and thematic design, the term ‘recapitulation’ as a description of b.143 is something of a misnomer. This theme is not a return to b.46, although it is an inversion of the

¹⁹ cit. Rothstein (1989), 68.

²⁰ See section 2.3 for a full discussion of Beach’s analysis.

melodic shape (C#' A E → E A C#'). Nor is it a return to the tonic after a dominant or substitute-dominant prolongation; the immediately preceding section (Udolin's interrogation of Isella, bb.112 ff.) is already anchored again in the tonic. (This rings true with both Rosen's observation that, for the nineteenth-century composer, the dominant loses its organising force,²¹ and also with Webster's comment that Schubert's apparent harmonic adventures disguise a reluctance to truly quit the tonic for another structural key.²²) Thus the sense of return is felt due to the identity of these two phrases, the prototype functioning as a 'retransition' and the opening as large scale upbeat to the duet proper.

To summarise: techniques of phrase expansion add to the comedy of the duet as each character pretends to ask difficult questions and must wait for their answer, and later as they sing melodramatically of the pain of separation. At the beginning of the duet, the immediate undercutting of the tonic and prolongation of the 'unexpected' dominant (and its own dominant) engenders a similar 'musical' surprise to that expressed by the characters at their reunion, and a sense of arrested lyrical motion before the duet begins properly and the characters sing full phrases. Most importantly, however, these techniques of phrase structure are a creative force which alleviate the monotonous phrase structure which Schubert may well have felt to be inherent in his previous operatic venture.

While the first duet opens with a section which fails to establish a phrase, the introduction to the second opens with a series of gestures which have an apparently clear phrase structure and a four-bar hypermeter. Furthermore the individual gestures have a clearly defined shape and a sense of rhythmic strong and weak beats. In particular the lower strings figure  establishes a strong feeling of - ◡ which is matched by that of the theme . In the opening 8 bars, the first of these gestures falls on the third and fourth beats of the two hypermeasures and is heard to conclude each phrase. (See Example 3.3.9 at end of chapter.) In the second 8-bar group it is missing from the third and fourth bars creating a rhythmic suspense until the seventh and eight bars. If we understood this bass gesture as that which concludes a phrase, we are forced to hear in this group (bb.9-16) not two four-bar

²¹ Rosen (1988), 365ff.

²² Webster (1978), 30.

phrases but one large phrase, a large intake of breath which flows into the next 8-bar phrase of the introduction where the melodic theme is introduced.

In this next eight-bar unit the two-bar lower string phrase is paralleled by the two-bar theme phrase (bb.19-22). We hear the bass phrase three times (bb.18-23) followed by 3 statements of a diminution ($\times \frac{1}{2}$) of the same in the upper line (marked by lower square brackets). At the same time, the whole line itself dissolves into phrases one bar in length (marked by upper square brackets), a kind of rhythmic acceleration towards the new beginning. The last two bars (bb.27-28) of this example are a prefix phrase to the first vocal strophe where we begin anew and the elements already introduced (regular periodicity and hypermetrical up- and down-beats in upper and lower phrases) become further developed.

In our discussion of Rhythm in Schubert (Chapter 2.3), we observed the effect of non-congruence of metrical up- and downbeats in Schubert's 'Im Dorfe' from *Winterreise*. As Feil observes, a rhythmic tension arises from the opposition between voice and accompaniment, where the phrases of the former begin on the half-bar, while those of the latter begin on the bar.²³ The song is thus structured by a temporary relaxation of this tension in the B section, the section during which the illusion of dream is preferred to the harshness of reality; a return to that reality with its baying dogs and its metrical instability; and a full dissolution of the opposition in the closing section which creates the impression of two expanded bars each containing 3 \downarrow beats, during which voice and accompaniment agree rhythmically.

In our duet we find an emergent rhythmic non-congruence in the second vocal section (bb.44ff.). The first, which sets the text 'Ich muss ihn finden, die Liebe binden nicht Wort und Schwur', introduces the two rhythmic gestures of voice and bass in parallel. Each reinforces the powerful strong-weak rhythmic impetus of the other. (See Example 3.3.10 bb.29-44, at end of chapter). At the close of the section setting this text, the bass line skips a beat (bb.43-44). Two instances of the bass gesture overlap and the result is two consecutive 'strong' bars. The vocal phrases, however, continue their established meter and as the next lines begin the rhythmic implications of voice and bass have entered into conflict. Whereas the opposition of phrases in 'Im Dorfe' is latent from the first entry of the voice and dispelled in the illusory dream of the middle section, those of this duet are initially in agreement and

²³ Feil (1988), 32.

only come into conflict as the number progresses. The rhythmic conflict is perhaps a musical counterpart to the inner dramatic conflicts of Astolf and Helene in this section as their pride does battle with heart and nature, and love triumphs.

a)

Astolf/Helene

b)

c)

Example 3.3.11

As well as disturbing the meter of strong and weak bars, this section (bb.44ff.) also disrupts the periodicity already established by the opening vocal phrase. The first section (29-44) establishes 4 four-bar groups (and four-bar hypermeasures) bound together by various devices. The melodic echoing of bars 29-30 by 31-32 creates the first group; similarly the accompaniment melody of 35-36 outlines a variation of 33-34. The repetition in sequence of 37-38 at 39-40, and 41-42 at 43-44, creates a complementary eight-bar phrase. At the point where the up/down-beat tension begins, we hear a further four-bar phrase of 2x2 but this elicits in response an expanded phrase during which the sense of four-bar hypermeter, already destabilised by the rhythmic incongruence, collapses altogether. The beginning of this phrase (b.49) echoes the bass of the previous bar, as if extending back the way, while the top D_b is held for an 'extra' bar and the cadence is also drawn out by an extra bar. By way of contrast, an unexpanded eight-bar version of this ten-bar phrase is given as Example 3.3.11 a) together with a reduction of the same (b).

Following the completion of the phrase, however, we hear an orchestral postlude during which the rhythmic tension (now between instrumental melody and bass) is still present. Schubert begins the same 'eight-bar' phrase again, only this time

[illegible]

At Helene's entry (b.70), we simply hear a strophic repetition of the same music. Everything is the same up until the point of the instrumental postlude, the ending of which takes a different turn to before. Heard at face value, the phrase ends by modulating to the dominant. As a point of tonal tension, this would be dramatically appropriate; upon meeting each other, the lovers question their resolve and, ultimately unable to resist, cadence back towards the tonic for a joyful stretta. As Example 3.3.12 shows, however, the new key area is hardly unproblematic. After the initial dominant close (b.111) we hear only pedals on the local I \sharp_4 and then the minor I \flat_4 , followed by a progression through d_b and b_b , each on their respective dominant pedals. The middleground effect of the bass progression is of a large arpeggiation of

the dominant minor. Finally we arrive again on the tonic $\frac{6}{4}$ and a continual reiteration of $I^{\frac{6}{4}} V^{\frac{5}{3}}$ (bb.125-128). It is as if we never left the initial cadence and thus in this piece we witness again Schubert's reluctance to firmly assert a departure from the home key. The return to $I^{\flat \frac{6}{4}}$ and thence to $\flat^{\frac{6}{4}}$ feels like a return to where Helene left off, poised on the brink of tonic closure. Appropriately, it falls at the point where Helene succumbs: 'Nein, ich kann nicht widerstehn'.

But the resolution which we feel as we return to the tonic $\frac{6}{4}$ is echoed by a new type of rhythmic resolution which accompanies it. All the way through the middle section (bb.111ff.), on V, on $\flat iii$ and even on I, we have heard a series of two-bar phrases which consistently move from $\frac{5}{3}$ to $\frac{6}{4}$ with a rhythmic feeling of - \cup . Having reached tonic $\frac{6}{4}$, however, Schubert shifts the emphasis so that $\frac{6}{4}$ now falls on a strong beat (b.125). Following this reversal he then diminishes the harmonic rhythm so that the whole progression occupies one bar. Although $V^{\frac{5}{3}}$ now falls on the downbeat, the drive is still towards, not away from, the cadence, the feeling of strong '- ' $I^{\frac{6}{4}}$ is still implied by the hairpins which accent it and the greater rhythmic value (♩) attributed to it (Example 3.3.13).

The image displays a musical score for a duet. The top system is for Helene, starting at measure 123. Her vocal line is in a treble clef with a key signature of two flats. The lyrics are: "Nein, ich kann nicht, ich kann nicht wi - der -". The piano accompaniment is in a grand staff (treble and bass clefs) with a key signature of two flats. The bottom system is for H, starting at measure 126. Her vocal line is in a treble clef with a key signature of two flats. The lyrics are: "stehn, ich kann nicht wi - der stehn, ich kann nicht wi - der - steh'n". The piano accompaniment is in a grand staff with a key signature of two flats. A *cresc.* marking is present in the piano part of the bottom system. The score includes various musical notations such as notes, rests, and slurs.

Example 3.3.13

To summarise: in this duet the introduction establishes a regular periodicity and a strong sense of hypermeter with clear strong and weak bars. At the first mention of conflict, a hypermetrical conflict arises and engenders a phrase expansion

as the music tries to find its bearings again. This phrase becomes further expanded in the instrumental postludes to Astolf and Helene's strophes. In the first postlude, an extra progression is interpolated between V_9^0/V and I_4^6 , creating an expansive fourteen-bar phrase. In the second, instrumental postlude the beginning is the same, but the looming German sixth (and potential tonic 6_4) is altered to become a diminished seventh (b.106) initiating a move towards the dominant. This dominant is not a firmly anchored key area however, and instead this section arpeggiates V/I . The whole section feels not like a prolongation of the dominant but a preparation for the avoided I_4^6 and thus although it is not a phrase expansion per se, it relates to those which have gone before by delaying and fulfilling the conclusion of the second instrumental postlude. Thus the dynamic of the whole andantino has the feeling of a series of increasing expansions which resist the conclusive cadence (when duty and love conflict), and a final repeated statement of the final cadence ('Ich kann nicht widerstehn') at the point where the - \cup rhythm is reversed from $\frac{5}{3} \rightarrow \frac{6}{4}$ to $\frac{6}{4} \rightarrow \frac{5}{3}$.

In this, his penultimate opera, Schubert responds appropriately to the comedy of the libretto through topical means, while his developing rhythmic style lends shape to the miniature dramas of Castelli's characters. A greater range of declamation is apparent and creates a more impressive sense of dramatic pacing. In *Alfonso und Estrella*, Schubert was ultimately unable to find a dramatic musical realisation of Schober's relentless text; in *Fierrabras*, Schubert set only sections of the text which lent themselves to a full musical realisation. Following, the effective character pieces of *Zwillingsbrüder*, the harmonic experimentation of *Alfonso und Estrella*, and the rhythmic developments of *Die Verschworenen*, Schubert had developed much of the necessary experience to produce a truly effective Grand Romantic opera.

Example 3.3.3 Prefix

The musical score for Example 3.3.3 Prefix is written for two staves, Isella and Udolin. The score is divided into four systems, each with a measure number (12, 24, 34, 40) and a system number (1, 2, 3, 4). The notation includes various musical symbols such as notes, rests, and dynamic markings like 'p' (piano) and 'fz' (forzando). The score is written for two staves, Isella and Udolin, with a key signature of one sharp (F#) and a common time signature (C).

System 1 (Measures 12-23): The first system begins with a measure number of 12. It features a complex rhythmic pattern with many beamed sixteenth and thirty-second notes. Dynamic markings include 'p' (piano) and 'fz' (forzando). The system ends with a measure number of 23.

System 2 (Measures 24-33): The second system begins with a measure number of 24. It continues the complex rhythmic pattern. Dynamic markings include 'p' (piano) and 'fz' (forzando). The system ends with a measure number of 33.

System 3 (Measures 34-39): The third system begins with a measure number of 34. It continues the complex rhythmic pattern. Dynamic markings include 'p' (piano) and 'fz' (forzando). The system ends with a measure number of 39.

System 4 (Measures 40-49): The fourth system begins with a measure number of 40. It continues the complex rhythmic pattern. Dynamic markings include 'p' (piano) and 'fz' (forzando). The system ends with a measure number of 49.

Example 3.3.9

Measures 1-11 of Example 3.3.9. The piece is in 3/8 time with a key signature of two flats (B-flat and E-flat). The first staff (treble clef) contains a series of chords and single notes, with a *pp* (pianissimo) dynamic marking at the beginning. The second staff (bass clef) contains a series of eighth and sixteenth notes, some beamed together. Fingering numbers 1, 2, 3, and 4 are indicated below the bass staff for measures 1 through 11.

Measures 12-17 of Example 3.3.9. The first staff (treble clef) continues with chords and single notes. The second staff (bass clef) features a more active line with eighth and sixteenth notes. Fingering numbers 4, 1, 2, 3, 4, and 1 are indicated below the bass staff for measures 12 through 17.

Measures 18-22 of Example 3.3.9. The first staff (treble clef) shows a melodic line with eighth and sixteenth notes, some beamed together. The second staff (bass clef) continues with a rhythmic pattern of eighth and sixteenth notes. Fingering numbers 2, 1, 2, 3, and 4 are indicated below the bass staff for measures 18 through 22.

Measures 23-25 of Example 3.3.9. The first staff (treble clef) features a melodic line with eighth and sixteenth notes, some beamed together. The second staff (bass clef) continues with a rhythmic pattern of eighth and sixteenth notes. Fingering numbers 1, 2, 3, 4, 1, and 2 are indicated below the bass staff for measures 23 through 25. The page number 200 is printed at the bottom right.

Example 3.3.10

27

35

43

54

60

3.4: The Search for Fierrabras

Of all Schubert's operas, *Fierrabras* is arguably the most audibly 'Schubertian'. This is due in part to a variety of melodic reminiscences of other more notable works dating from before and after the opera's composition. To name but a few, we hear music reminiscent of 'Der Jäger' from *Die schöne Müllerin* (Act II Scene iv, p.261¹), the B \flat Piano Trio (Act I Finale, p.154), the men's march from *Die Verschworenen* (as the *Marcia Funebre* for Roland in Act III, p.477), the Wanderer Fantasy (Act II no 12, p.331) and many other works, the reminiscences of which are not quite so distinctive. Furthermore, in the name of compositional expediency, Schubert reused themes from his less successful operatic ventures in two of the numbers.² In our examination of *Die Zwillingsbrüder* we have seen how Schubert turned aspects of his topical language and of structure into a musical realisation of diametrically opposed characters. In *Alfonso und Estrella* we discussed how an expanding sense of harmonic invention played various roles in structuring the opera. Diatonic major, augmented and diminished sonorities become identified respectively with heroism and horn calls, magic and the *Märchen*, and the narrative lies of an evil conspirator. In *Die Verschworenen*, the miniature dramatic progressions of single numbers become realised in rhythmic terms which provides a sense of shape and drive which is largely absent from *Alfonso und Estrella*.

While *Fierrabras* is evidently recognisable as Schubert because of its reminiscences of other works, it is also likely that our basic analytical categories will be directly relevant. To recap, these include: the idea of form as spatial (key areas are opened up through sudden harmonic shifts which may in some cases express a reversal from sadness to reconciliation, the interchangeable love and pain of Schubert's *Märchen*); the idea that signified temporality is constructed in part through rhythmic means (through retardations and accelerations of phrase and through the expansion of already timeless lyricism, as well as through the development of particular rhythmic figures); the developing subtlety of his semiotic language, topical and gestural; and the 'Biedermeier' tone which arises from a variety of factors. Of all of these, the concept of the Biedermeier is most directly relevant to this opera. As we shall see, the themes of the plot include a longing for peace, a desire for escape, a

¹ Page references are to the *Alte Gesamtausgabe*, the only published edition at this time.

² The duet between Florinda and Roland of Act II is taken from *Die Freunde von Salamanka*, while the opening chorus of Act III is the opening number of *Claudine von Villa Bella*.

valorisation of home, family, fatherland etc., a sense of limitation or 'tameness', and an uneasy resolution of dramatic themes for the sake of an apparently comfortable closure. Thus, one of the primary aims of this chapter is to investigate how these Biedermeier themes are realised musically.

By the time Schubert began to compose *Fierrabras*, the stage was set for him to make his name as a major composer of opera. Politically, he had established important contacts in the world of Viennese opera, including directors and impresarios, singers and other significant composers. In terms of his operatic reputation, he had composed one major work (*Die Zwillingsbrüder*) for the Kärntnertortheater, written two numbers for Herold's *La Clochette* for the same theatre, undertaken coaching for the singer of Isabella (Dorabella) in a German-language revival of *Così*,³ and composed music for the melodrama *Die Zauberharfe* performed at the Theater an der Wien. Schubert's experience of composing for the stage already encompassed essays in several major genres: Melodrama (*Die Zauberharfe*), Farce with Song (*Die Zwillingsbrüder*), through-composed opera (*Alfonso und Estrella*), Oratorio (*Lazarus*) – albeit in a peculiarly idiosyncratic vein – and Singspiel (*Die Verschworenen*) in which the music played a vital dramatic role.

Several of the most salient features of *Fierrabras* relate this work to the emergent field of German Romantic Opera. The extensive use of melodrama in this work relates *Fierrabras* to *Freischütz* and *Fidelio*, whose *Wolfsschlucht* and dungeon scenes are the *loci classici* of melodrama in early German Romantic opera.⁴ (There are also some early examples of Schubert's use of the technique in *Des Teufels Lustschloss* and *Die vierjährige Posten* but these are far more limited in scope.) For the first time in a true opera, Schubert's overture engages with the thematic material of the opera. A figure associated with the character of *Fierrabras* himself, one that has been dubiously described as a *Leitmotiv*, threads its way through much of the work. There are also, however, other reminiscence figures throughout opera. As previously observed, *Alfonso* only used such devices sparingly, and indeed the significance of

³ Schubert's association with this theatre is documented by Brown. ['Schubert's Early Association with the Kärntnertor Theater', *The Musical Times* 100 (1959), 261-62.]

⁴ The melodrama as premise for an entire work is exemplified by Schubert's own *Die Zauberharfe*, although the tradition dates back to Rousseau's *Pygmalion*, and its most important figure was Georg Benda. [Branscombe, P., 'Schubert and the melodrama', in Badura-Skoda and Branscombe (eds.), *Schubert Studies* (Cambridge, 1982).] As a local effect it was also used extensively by Weigl in his Viennese operas. [Bollert, W., 'Josef Weigl und das deutsche Singspiel', in *Aufsätze zur Musikgeschichte* (Bottrop, 1938), 95-114.]

these is often unclear or possibly even accidental. Furthermore, many of the larger choral scenes belong in the tradition of German opera from Spohr to early Wagner; as well as suggesting parallels with Haydn's *Seasons*, the chorus of spinning women which opens Act I, for example, is remarkably prophetic of that of *Flying Dutchman*. While the extensive use of through-composed musical narrative extends back to Gluck (c.f. *Iphigenie en Tauride* I), as we have discussed in the chapter on *Alfonso und Estrella* it is also an important recurrent feature of Romantic opera and can be found in Weber, Meyerbeer, Schumann, Marschner and, of course, Wagner.

Given the proliferation of devices associated with German Romantic opera, and an evident tendency of musicologists to abuse the term *Leitmotiv*, there is a danger of over-stressing the progressiveness and significance of *Fierrabras*. Certainly there is no question of this work having influenced later German operatic ventures; *Fierrabras* received no full production until 1897,⁵ and the work was not published in full score prior to 1886 when it appeared in the *Alte Gesamtausgabe*.⁶ Although we must be cautious in interpreting these characteristic features as either radically progressive or influential, it would be foolish to underestimate their historical significance. Throughout the time in which Schubert was composing for the stage, German opera was struggling to find its own identity and direction. Weber, as one of the major players in the founding of the new German opera, addressed the problem succinctly in his inaugural article as director of the German Opera at Dresden in 1817:

No people has been so slow and so uncertain as the German in determining its own specific art forms. Both the Italians and the French have evolved a form of opera in which they move freely and naturally. This is not true of the Germans, whose peculiarity it has been to adopt what seems best in other schools, after much study and steady development; but the matter goes deeper with them. Whereas

⁵ Concert performances of parts of the work were, however, given in 1835 and 1858. It was the latter of these which formed the basis of Hanslick's critique of the work. Lowenberg, A., *Annals of Opera: 1597-1940* (New York, 1970), col. 1200.

⁶ Indeed the only suggestion that any of Schubert's operas could have been at all influential on the later nineteenth-century composer is made by Karl Blessinger in an essay on 'Romantic Elements' in Schubert opera. The suggested train of influence is through Liszt (as director of *Alfonso und Estrella*) to Wagner. Given Liszt's own feelings about the work, this suggestion is highly improbable. [Blessinger (1924), 178.]

other nations concern themselves chiefly with the sensuous satisfaction of isolated moments, the German demands a self-sufficient work of art, in which all the parts make up a beautiful and unified whole.⁷

This article was a revised version of a similar piece, written upon arrival in Prague four years previously; a shift in emphasis from promotion of opera *per se* to the development of a new German opera is notable between the two versions.⁸

Weber's description of earlier attempts at German opera could easily apply to Schubert who, as we have noted, looked to Gluck for models in his two classical opera fragments *Adrast* and *Die Bürgschaft*, adopted both Italian Cabaletta models and large French choral tableaux in *Alfonso und Estrella*, and alluded to Mozartian opera buffa from *Die Freunde von Salamanka* to *Die Verschworenen*. Furthermore, the great variety of genres in which Schubert composed between 1820 and 1823, shows that he had not yet established a consistent framework within which to work.

That Schubert began to make use of techniques taken from the embryonic German Romantic Opera displays not an ideological change of heart, but a pragmatic response to the brief of his commission. Indeed, his list of dedications attest to this political pragmatism. In February of 1821 the Kärntnertortheater was put in the charge of Graf Moritz von Dietrichstein (as Hoftheaterdirektor) and Ignaz von Mosel (whom Dietrichstein requested as his assistant). The idealistic efforts of these two men on behalf of German opera secured the Viennese premiere of *Freischütz*⁹ and it is evidently no accident that Schubert's op. 1 (published April 2nd 1821) and op. 3 (published 29th May of the same year) were dedicated to Dietrichstein and Mosel respectively. Furthermore his publications ops. 5 and 6 were dedicated to Salieri and Michael Vogl respectively; the former secured the association with his erstwhile teacher and the latter tied him publicly to the renowned opera singer who had tirelessly promoted Schubert and played the title role(s) of *Die Zwillingsbrüder*.¹⁰ The trend continues even up until 1825 when Schubert dedicated his op. 31 to the

⁷ 'To the art-loving citizens of Dresden', *Dresden Abend-Zeitung* 25 (29 Jan 1817), trans. Martin Cooper, in Warrack (ed.), *Carl Maria von Weber: Writings on Music* (Cambridge, 1981), 204-05.

⁸ See Hsu, D., 'Weber on Opera: A Challenge to Eighteenth-Century Tradition', in *Studies in Eighteenth Century Music*, Landon & Chapman (eds.) (London, 1970), 297-309.

⁹ Trenkler, E., 'Ignaz Franz Edler von Mosel', *Biblos* 22/4 (1973), 386-92.

¹⁰ Deutsch (1946), 947.

renowned singer Anna Milder-Hauptmann in the vain hope of securing a Berlin performance of *Alfonso*.¹¹

Mosel and Dietrichstein were part of what has since been described as a patriotic opera movement.¹² Building on the manifesto of Heinrich von Collin's 1806 essay on opera, which advocated a return to the power of the Greek theatre,¹³ Mosel's 1813 treatise can be considered to be not only a product of his association with Salieri, but also a symptom of his reception of Collin whose essay opens with praise for Gluck's *Iphigenie auf Tauris*. Furthermore, the treatise may be understood as a statement of the aesthetics of two court theatre directors. As a proposed aesthetics for the *future* of German Opera, the treatise is remarkably conservative. Examination of the text shows that its primary themes are: unity (of music and poetry, of *Affekt*, and of declamation in chorus and ensemble pieces); clarity of expression (in the declamation of solo numbers, in the expression of the singer, and in the simplicity of the verse and the plot); and dramatic truth (both in the rational unfolding of the plot and in the appropriateness of declamation to the sentiment expressed). The patriotism of their cause was not, however, a recommendation that libretti should be political in intent; Mosel writes that 'music has no need to tamper with politics' and recommends the setting of mythical or classical themes, though he permits other historical ones too.¹⁴ Rather, opera should arouse national interest through its expressive power and aesthetic virtues.

Despite the requirements of unity and a distinct distaste for Italian lyricism, Mosel's manifesto differs greatly from the more progressive writings of Weber. Whereas in the vein of Gluckian Reform Opera Mosel advocates subservience of all elements to the dramatic text, Weber's requirements of unity, found in his Dresden address, in his fragmentary novel *Tonkünstlers Leben*, and threading 'leitmotivically' throughout most of his writings, are never at the expense of music.¹⁵ Indeed he writes of Hoffmann's *Undine* that 'the veracity of music's language . . . is finally victorious in asserting its rights.'¹⁶ Whereas Mosel was cautious about the treatment of 'the

¹¹ While Milder-Hauptmann praised Suleika II, she commented on *Alfonso* that the libretto did not suit local taste. Deutsch (1946), 408.

¹² Antonicek, T., 'Schubert und die patriotische Opernbewegung', in Partsch and Pausch (eds.) *Der vergessene Schubert* (Wien, 1997), 32-39.

¹³ Collin, H., 'Über das Gesungene Drama', in Matthias v. Collin (ed.), *Heinrich J.v. Collin's Sämtliche Werke - Fünfter Band* (Wien, 1813), 83-88.

¹⁴ Mosel (1813), 13-14.

¹⁵ Warrack (ed.) (1981), 207, 322, etc.

¹⁶ *Ibid.* 202.

marvellous' in German opera, Weber held up Hoffmann's *Undine* as a shining example of dramatic truth, and insisted on the inclusion of marvellous elements in *Euryanthe*.

Hoffmann's own famous discussion of 'the marvellous' in opera, that found in 'Der Dichter und Der Componist' from his novel *Die Serapionsbrüder*, clarifies the dramatic importance of an otherworldly subject.¹⁷ Taking the characters of Ludwig and Ferdinand to be not only representatives of poets and composers but metaphors for poetry and music,¹⁸ we understand that Hoffman believes that truly Romantic music has retreated into its own world, has escaped and transcended empirical reality (represented in this tale as occupied Vienna) for 'that faraway Romantic land'.¹⁹ In so doing, music (Ludwig) has become separated from poetry (Ferdinand) for a long while and even by the end of Hoffmann's tale, they are torn away from each other again, still unsure as to how they might be joined together. It becomes evident that the composer believes (as does Weber) that 'the marvellous' is suitable subject matter for a potential opera. Crucially this is not because supernatural effects make good visual entertainment, rather it is because music itself concerns the otherworldly. Thus in Hoffmann's own *Undine*, the marvellous elements of the drama not only encode a Romantic secularisation of Christian plot (innocence, fall, redemption in *Liebestod*) but are understood as a textual counterpart to music's own other-worldliness.

Thus, in contrast to Mosel's classical aesthetic of opera, Hoffmann's Romantic music does not endeavour to remain subservient to a simple dramatic plot, rather poetic drama seeks to become musical, renders visible what is truly the realm of the otherworldly. Whereas Baroque *Figuren* and classical programaticism attempt to make visible things musical, Romantic opera makes the musical visible. We encounter this aesthetic stance in Hoffmann's own writings on music. The experience of music is so immediate that in writing it can only be expressed by omission (described as that which is unnameable), through the use of metaphor (as colours, lights and elemental forces or drives) or metonymically (through the reactions of an ideal listener). Walter Moser has observed all of these traits in one of Hoffmann's most famous Romantic tales. Interestingly the subject of this tale in which music appears to be aesthetically prior to language or the visual is Gluck, the very composer

¹⁷ 'The Poet and The Composer', in Strunk (ed.), *Source Readings in Music History* (London, 1952), 782-797.

¹⁸ Daverio, J., (1993), 97.

¹⁹ Strunk (1952), 782.

whose works, for Mosel and others, were held to be paradigmatic of the opposite cause!²⁰ In the tale 'Ritter Gluck' music is expressed metaphorically, metonymically through the gestural bodily reactions of the composer listening to his own work, and through a final act of 'omission' as the composer plays through his own opera from an apparently blank score; true Romantic music transcends even the written page.

Within the history of German Romantic opera, Mosel's treatise appears truly conservative. All the same, Schubert's attempts to cultivate links with Mosel and Dietrichstein bore fruit in the form of a commission to write the two additional numbers to Hérold's opera *La Clochette*, performed in Georg Treitschke's translation as *Das Zauberglöckchen* in June 1821. The commission dates from early 1821 and Schubert probably composed these during May or April (although exact dating is not possible).²¹ Given this early success, it seems likely that Mosel's own views on opera were at the back of Schubert's mind during the composition of *Alfonso*, although we have already ascertained that the extent of the influence was limited. When the directorship of the theatre was handed over to the Italian impresario Domenico Barbaja,²² Schubert lost an important foothold. This did not yet, however, spell the end for his operatic ambitions. In response to a commission of early 1822, Schubert evidently submitted the score of *Alfonso* to the theatre, only to have it rejected later that year.²³ He continued to exploit Mosel as a referee for this opera in his attempt to attract a Dresden performance of the work from Weber who, according to Schubert, sent a 'very promising' response.²⁴

Despite the rejection of *Alfonso*, Barbaja was evidently keen to promote, or to be seen to promote, the cause of German opera. In May 1822, the *Leipzig Zeitung für die Elegante Welt* announced the forthcoming production of operas by Konradin Kreutzer, Weber and Schubert.²⁵ Although *Alfonso* did not fit the bill, Schubert later began work on a libretto by the then secretary to the theatre Josef Kupelwieser,

²⁰ Moser, W., 'Writing (About) Music: The Case of E.T.A. Hoffmann', in *German Literature and Music in the Nineteenth Century*, Chapple, Hall, Schulte (eds) (Lanham 1992), 209-226.

²¹ McKay (1991), 119.

²² This was agreed despite all protestations in November 1821 and was effective from January 1822. Trenkeler (1973), 389.

²³ He writes to Spaun in 1822 that he has asked for the return of the score following its failure to attract a Viennese performance. [Deutsch (1946), 248.] Vogl, normally a champion of Schubert's operatic career was unsupportive of the work, due in part to his disapproval of Schober, and McKay has recently suggested that this may have had a bearing on the rejection of the work by the theatre. [McKay (1998), 120.]

²⁴ The pursuit of a Dresden performance continued into 1823 when Schubert sent more of the opera to Mosel for consideration. Deutsch (1946), 270.

²⁵ Ibid. 219.

brother of Leopold, the renowned painter of Schubert's own circle. The libretto was passed by the censor in July 1823 with certain amendments²⁶, during which time Schubert was already fully immersed in composition, and even in September Kreutzer mentioned the work as one of 'a few new original German operas'.²⁷ An announcement in the Viennese *AmZ* of the 4th of October is evidence enough not only that the commission was quite genuine but also that a performance was still expected.²⁸ Despite the many promises, however, Schubert's work was not produced either then or during his lifetime. This was largely due to two unfortunate circumstantial factors. Firstly, on the 9th of October Kupelwieser resigned his administrative post at the theatre due to disagreements with the Italian singers; his departure from the theatre cannot have helped the chances for an opera of which he was the librettist. Secondly, Weber's *Euryanthe* was given its first performance on the 25th of October and the unfavourable reception of this work left an inhospitable climate for the propagation of German Romantic opera. As if Schubert's political bridges were not already burned, we will recall that he reputedly remarked to Weber on the following day that he had preferred *Freischütz*²⁹ and certainly privately held that the failure was 'quite justified'.³⁰ By late November, it became clear to Schubert that *Fierrabras* was not to receive a performance and in March of the following year he famously remarked in a letter to Leopold Kupelwieser 'I seem once again to have composed two operas [*Fierrabras* and *Die Verschworenen*] for nothing.'³¹

Schubert's evident disappointment following the failure of *Fierrabras* must have been all the more severe given that he had reassessed his compositional technique in the light of *Alfonso*'s rejection in order to ensure a performance. Public statements regarding *Fierrabras* make it clear that Schubert's brief was to produce a characteristically German work;³² his response was evidently to turn to musical techniques which were hallmarks of this emergent genre. The inclusion of spoken

²⁶ Ibid. 283.

²⁷ Ibid. 289.

²⁸ cit. Waidelich (ed.) (1993), 166.

²⁹ Our knowledge of this encounter comes from Spaun's 1829 obituary to Schubert reprinted in Deutsch (1957), 22.

³⁰ Deutsch (1946), 302.

³¹ Ibid. 339.

³² 'A fair prospect opens up before the friends of German opera, since there are to be produced by next autumn at the latest ['*Aesop at Court*' by Kreutzer, a new opera by Weber and] another by the talented Schubert....' [16/5/22 *Leipzig Zeitung für die Elegante Welt* cit. Ibid. 219.] The Berlin *Gesellschafter* reported that the purpose of these commissions was 'to give new force to the love for national music...' ['um damit der Liebe zu vaterländischer Musik neuen Schwung zu verleihen...' cit. Waidelich (ed.) (1993), 141.]

dialogue, although it might appear to run counter to the development of Romantic opera, constitutes a rejection of the conservative Mosel who thoroughly disapproved of its use.³³ By reintroducing melodrama, Schubert asserted *Fierrabras*' Germanic qualities, linking it to *Freischütz*, *Fidelio* and works of Weigl. Through the use of thematic material of the opera in the overture he asserted the opera's connection with *Freischütz* and *Faust*, amongst other works.³⁴ Furthermore, the introduction of salient reminiscence motives, a feature which Weber notably praised in *Faust* and *Undine*,³⁵ shows that Schubert was attempting to incorporate these now characteristically Germanic devices.

In Kupelwieser, Schubert found an apparently competent librettist, although it is not clear whether any other libretti by him exist. In contrast with Schober's book, this libretto provided opportunities for a variety of set pieces – triumphal march, funeral march, narration of battle, spinning song, serenade, love duet, rescue aria, *a capella* hymn – and all appear integral to the action which Kupelwieser creates. Although contemporary reports cite Schlegel's translation of Calderon's *La Puente de Mantible* as the source of the *Fierrabras* elements, it has recently become clear that Kupelwieser made use of a version of the story which appears in Büsching and Hagen's *Buch der Liebe*.³⁶ These are conflated with the German legend of Eginhard and Emma, made popular by Fouqué in the early nineteenth century. It may seem rather like a cruel joke that at a time when mention of Christianity in a stage work was banned, and writings which depicted the overthrowing of a monarch or tyrant were held to be suspicious,³⁷ Schubert chose to set an opera on the subject of the crusades! As an established theatre official, Kupelwieser evidently knew how to avoid writing material which would fall foul of the censor.³⁸ The result was, however, that in the libretto any actual battles are narrated from a distance of time or space and there are only guarded mentions of religion.

³³ 'Spoken dialogue must be completely excluded from tragic and heroic opera and the recitative must take its place because here music constructs its own constantly held language, and the alternation of declamation and song with its heightened feelings, which the opera aims at would disturb the high degree of deception on which its effect depends.' Mosel (1813), 21.

³⁴ In later revisions of *Faust*, Spohr developed this feature, introducing at the beginning of the third act an *entreacte* which musically recalls themes of the plot so far.

³⁵ Warrack (ed.) (Cambridge, 1981), 191-193, 200-205.

³⁶ Denny, T. 'Wo haben Kupelwieser und Schober ihre Sujets für Schubert gefunden?' *Schubert durch die Brille* (1990), 32-37.

³⁷ Gülke, P., 'Die Oper: Ambitionen und Katastrophen – anhand *Fierrabras*, in Parsch & Pausch ed. *Der Vergessene Schubert* (Wien, 1997), 108-119; 117.

³⁸ The alterations made by the censor were evidently few and slight. See esp. McKay (1991), 249; Deutsch (1948), 283-84.

Simply in terms of the libretto, the result is alarmingly Biedermeier. When Fierrabras himself converts to Christianity, he appears to embrace a set of bourgeois values rather than the faith itself. When the Frankish knights are captured by their enemies, rather than pray for rescue, they sing of their longed for fatherland. Fierrabras protects Emma and Eginhard's secret liaison for the sake of friendship and Florinda loves Roland irrespective of faith. The conversion of the prince Boland (who actually dies in both literary sources) can probably be attributed to the caution at depicting the overthrowing of a tyrant; better to have him reform than to have him impaled on stage. Other Biedermeier elements abound, including the generally simple trajectory of social stability → minor conflict → return of harmony, the presence of beneficent patriarchal figures, and a strong feeling of longing for peace and home which runs through the whole work. But there is a darker undercurrent of the Biedermeier present. While Fierrabras embraces 'the supreme faith', he ends up alone, Emma having paired off with Eginhard. And much of the time, the characters appear trapped in their social positions, powerless to change anything and separated from the action of war around them which only makes it more difficult to pursue their loves and friendships.

Perhaps the most frequently observed problem of the opera is the conspicuous absence of the title figure, Fierrabras himself. During the scene in which he arrives, he remains silent except for one line of arioso in which he exclaims '*Verdammenwertes Schicksal!*' ['Damnable Fate!'], and a moment of melodrama during which he recognises Emma as the woman whom he loves and is hastily hushed by Roland. He also sings a part in the closing ensemble of the section, prior to the return of the march '*Zu hohes Ruhmespforten*', which frames the scene, but neither in this ensemble, nor in the scene as a whole, does he rise to great prominence. In the course of the rest of Act I he has only a perfunctory duet with Roland, an extended Aria section of the Finale and parts in the Ensemble work of the rest of the Finale. After this he disappears for all of the second act and re-emerges in the third to play his relatively minor part in the defeat of his own father. As Friedrich Dieckmann observes, Fierrabras is part of a great tradition of 'aheroic' tenor heroes including Tamino, Florestan, Max etc.³⁹ Here, however, the tradition is taken to the point of

³⁹ Dieckmann, F., 'Fidelios Erben: *Fierrabras* und das Biedermeierliche Bewußtsein', *Oper Heute* 8 (1985), 77-102, esp 79.

absurdity, for while Max, Florestan and Tamino all have villains against which they are measured (Kaspar, Pizarro, Monostatos), Fierrabras stands beside another hero, Eginhard and his own father whose villainous convictions crumble in an instant.⁴⁰ Furthermore, the 'Fierabras' (sic)⁴¹ of Calderon and Busching and Hagen is a restless, impetuous saracen, while that of Kupelwieser is passive and withdrawn. Indeed his most heroic act of the opera is one of passivity; he takes the blame for Emma's 'abduction' and remains silent about her liaison with Eginhard.



That Fierrabras does not appear integral to the action is due in part to the fact that he actually *doesn't* belong in the legend of Eginhard and Emma. This does not mean, however, that the opera is not in many ways about him. The principle scene to feature Fierrabras is the central through-composed section of Act I. The action of this scene is outlined in **Table 3** (Page 233). At the beginning of the scene, Fierrabras is a silent, angry, defeated warrior. By the end he has observed the beautiful, pastoral Emma and taken his place amongst the circle of friends who sing of their private anguish against a background of noble knights. Implicitly it is here that Fierrabras joins the ranks of the Franks and of the disaffected youthful contingent. This conversion is musically realised on the level of motive. At the point where he refuses to pay homage to Karl, we hear the figure with which he is associated throughout (Example 3.4.1); here it stands for his tempestuous stage presence in the light of his silence. Roland then narrates the story of Fierrabras' capture in battle in stormy music which is evidently meant to characterise Fierrabras, not the narrator. The episode concludes with a bold D major fanfare at the words 'a prisoner he stands here, but also a hero!'. Fierrabras' restless figure still appears in the following recitative but at the point where Karl learns his true identity and frees him nonetheless, it dissolves into a chorale-like closing figure (Example 3.4.2). The move from towards the chorale may be heard to suggest a move from isolation to community and is reminiscent of a similar act of 'taming' observed in the A minor sonata D.784.⁴² This

⁴⁰ Ibid. 81.

⁴¹ Kupelwieser's spelling of 'Fierrabras' with two r's is unique. All literary sources spell his name with one.

⁴² Discussed in Section 2.4.

then leads into the next number of the scene, a choral presentation of a victors wreath by Emma and the womenfolk, during which Karl addresses the women in recitative-like musical prose and defers the honour to Roland, the true hero of the day. It is at the end of this number that Fierrabras declares his love for Emma to Roland in spoken melodrama.

The image displays a musical score for two systems. The first system features a vocal line (soprano) with the lyrics "Du hast mein Wort," and an instrumental line for violin/oboe (vln/ob) and figured bass/viola/cello (fg/vla/vcl). The second system shows a vocal line (soprano) with the lyrics "ich stell' ihn frei dir in die Sie - ger - ar - me" and an instrumental line for oboe/figured bass/cornet/trumpet (ob/fg/cor/tromb) and strings. The score is written in G major and 4/4 time.

Example 3.4.2

Although Fierrabras rarely speaks or sings himself in this scene, it is quite clear that this scene is about him. He is the object of Roland's narration and the observing subject of pious Emma and beneficent Karl, both of whom he admires. It might put us in mind of a similar set of events from *Die schöne Müllerin*, those of the fifth song 'Am Feirabend'. As Lawrence Kramer observes, the middle of the song constitutes an act of 'ventriloquizing'. The young miller reports the speech, direct and indirect, of father and daughter respectively and in so doing puts his own subjective slant on them. The father is reported as low and commandingly recitative-like, while the daughter is high and lyrical with a pained dissonance on the word 'allen' (pained because she is bidding good night to all the workers, not to the young protagonist himself).⁴³ Effectively the same thing happens here, the difference being that each character 'plays' themselves. Karl's more declamatory speech appears as commanding and noble (the patriarchal figure which appeared so essential to the Biedermeier mentality), whereas Emma appears lyrically as the object of Fierrabras' affection also embodying values of familial loyalty, desire for peace, and pastoral escape.

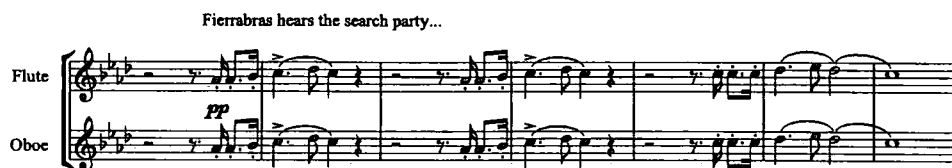
⁴³ Kramer (1998), 139-40.

In addition to the shift from Moorish dotted rhythm to measured chorale, other motivic features underscore the transition of *Fierrabras* from warrior to peaceful *Biedermann*. During Roland's narration (Appendix 3.8), the rapid scale figures of the 3/4 section are later associated with the wrath of his own sister, Florinda, when she vows to rescue Roland and defy her father. The opening gesture is melodically reminiscent of Pizarro's 'Ha welch ein Augenblick' of *Fidelio* in a similarly agitated mood, while the suspensions over dominant pedal of the closing passage appears in the conclusion of the overture and is often used elsewhere in the opera prior to a point of arrival or rest. This last figure will be further discussed later. The tendency to move towards the static image is, according to Werner Thomas, one of the principal structural tenets of this opera.⁴⁴ However, in contrast to the stream of peaceful scenes of *Alfonso*, Schubert had learned by *Fierrabras* that restful lyricism has to be earned and arrived at. Thus, while Emma's solo lied is a typical pastoral number such as one might find in any earlier opera, Roland's account of *Fierrabras*' capture musically realises the battle as forward-moving narrated time.

The forward drive of Roland's narration (Example 3.4.3, printed at the end of this chapter) is due in part to the voice-leading profile which at first sets the scene (bb.1-8), and then starts to move in unanticipated upwards shifts. The shifts are consistently towards the minor neapolitan of each key, an inflection which is apparently thematic for the opera due to its prominence in the opening bars of the overture. Perhaps more importantly, it is also due to a series of rhythmic shifts of gear. The move to 3/4 creates an acceleration of harmonic rhythm. As the voice re-enters (b.18) a four-bar phrase (2+2) begins on C# minor, which suggests another four-bar phrase on the L (*Leittonwechsel*) related A, the dominant harmonic bridge to D. Instead this is foreshortened to 3 bars (bb.22-24). In the next upwards shift, the L-related link (B_b⁷) lasts only a beat rather than 3 bars, a further acceleration (b.28). The final stages of the process (bb.33ff) involve three successively higher diminished sevenths, the last of which becomes a pre-cadential tonic $\frac{6}{4}$. Each of these shifts occurs at an interval of two bars (a further acceleration of harmonic rhythm). These shifts are also unmediated by other preparatory chords and thus create the feeling of ascent by force, while the final drive towards the cadence is coloured by suspensions

⁴⁴ Thomas, W., 'Bild und Aktion in "Fierrabras" – Ein Beitrag zu Schuberts musikalischer Dramaturgie', in Aderhold, Durr, Litschauer (eds.), *Franz Schubert: Jahre der Krise, 1818-1823. Arnold Feil zum 60. Geburtstag* (Kassel, 1982), 85-112; 88.

which, as we will see, are thematic for the opera as a whole. Both the voice-leading profile and the rhythmic accelerations mark this section as one of moving narrated time, emphatic forward motion and 'striving'. Immediately following the narration, Fierrabras' name and lineage is revealed, Karl frees him nonetheless, and Emma's pastoral number begins. This progression of numbers from narrative action to lyrical reflection allows us to understand the wilful shift in Fierrabras' character from battling warrior to passive *Biedermann*.



Example 3.4.4



Example 3.4.5

While various commentators observe the presence of reminiscence motives in this opera, the focus tends to be on the 'Fierrabras' or 'Moorish' motive.⁴⁵ The initial occurrence of this motive, the audible representation of the silent Moor, has already been mentioned. We hear it again later in the same act, at the point where Emma's absence is discovered and an unsettled Fierrabras hears the approaching search party (Example 3.4.4). It is also heard in the second act as an announcement of the approach of Eginhard's Moorish captors. There are, however, many other motives and gestures which lend coherence to the work and, more importantly, underscore the major themes of the opera. Karl, for example, is denoted by martial music (Example 3.4.5) followed by *accompagnato* strings and a characteristically authoritative declamatory tone. Both of his dramatic entries, those in Act I and at the end of Act III, are announced by the same martial figure. We may recall here Monelle's comment on a function of martial music, that 'the command of a body of troops was a symbol of noble rank, and the military instrument, trumpets and drums, also took on this secondary signification.'⁴⁶ In terms of our semiotic categories of Chapter 2.4, this

⁴⁵ Brown (1959), 108; McKay (1991), 260; Wischusen (1983), 482.

⁴⁶ Monelle (2000), 37.

use of the march is indexical of marching in step, but conventionally symbolic of the noble leader who commands his loyal troops. Thus, Karl becomes a paragon of Biedermeier patriarchal nobility by virtue of topical means. The young lovers Eginhard and Emma are portrayed more generically. Each character opens an act with a set piece, Emma with two spinning choruses with her own verse (Acts I and III), and Eginhard with a lied in praise of home (Act II). The characters are also paired together in an explicitly phenomenal serenade, in which both sing a verse (Act I Finale opening). Florinda, in her Leonora-like moods, is portrayed by rushing string passages in scales (similar to those found in Roland's battle narration) and rapid slurred pairs of quavers. We find these in her 'rescue aria' No. 13 (Example 3.4.6.), in her solo entry following the melodrama in the prison tower No 15 (Example 3.4.7), and in her second rescue number which ends No. 21 as she surrenders herself, prepared to die with Roland. (Both of these examples are printed at the end of this chapter.)



Example 3.4.8

Kehrt die Ruh zurück....

Horn in F

Knights

kehrt die Ruh zu - rück

Example 3.4.9

But it is not merely characters which are accorded reminiscence motives or other generic cues; dramatic themes are underscored by these too. The most pervasive of these is the horn-like figuration of the *a capella* chorus *O Teures*

Vaterland (Appendix 3.9) sung by the Frankish Knights when they are imprisoned in the tower by Boland in Act II. The main theme of this number is also used as part of the slow introduction to the overture and as such announces the idea of a longed-for peace and fatherland as one which is centrally important to the opera. And yet, motives from this chorus, or simply the horn figuration itself, crop up as closural gestures within many other numbers. As Karl grants freedom to the Moorish prisoners 'until peace returns', we hear one such instance of this (Example 3.4.8); another appears pervasively throughout the penultimate number of this scene, in the horns and in the chorus of knights which form the backdrop to more private sentiments of the young protagonists (Example 3.4.9). Perhaps the most striking inclusion of the theme is in the second act when Florinda and Roland sing their first love duet 'Even on the brink of the grave'. For this number, Schubert re-used a theme from his earlier Singspiel *Die Freunde von Salamanka*, a work with no dramatic common ground. Significantly, however, we can see that he altered the ending of the theme to include the same 'Vaterland' material (Example 3.4.10).

Example 3.4.10 is a musical score snippet from Schubert's opera. It features four vocal parts: Roland (bass), Olivia (soprano), Alonso (tenor), and a chorus consisting of Soprano (S.) and Tenor (T.) voices. The music is in G major (one sharp) and 4/4 time. The lyrics are in German. The score shows a duet between Roland and Olivia, followed by Alonso's entry, and then the chorus. The lyrics are: Roland: 'Selbst an des Gra - bes Ran - de, er - wacht das Le - ben neu vom düs - tern To - des ban - de macht'; Olivia: 'Der Strom der Ent - zück - ung - en thei - let mir... wi - der Wil len sich mit'; Alonso: 'Bin von ir - disch - en Schmer - zen ge - bei - let, wenn sie'; Chorus (S.): 'uns die Lie - be frei... macht uns die Lie - be frei'; Chorus (T.): 'Der Strom der Ent - zück - ung - en thei - let mir trü - stend auf mich sieht... bin von ir - disch - en Schmer - zen ge'.

Example 3.4.10

As a slow introduction to the overture, the scoring of this theme for horns is reminiscent of *Freischütz* and thus suggests connotations of lost unspoilt nature. As it appears in the Act II chorus, however, a particular meaning emerges which – by virtue of the many reminiscences – sets the tone for the opera. The opening of the theme suggests a quasi-religious tone. The simple scoring, slow harmonic rhythm and closes on fermatas creates a chorale-like texture, and the melodic fragment which opens and

closes the number is reminiscent of an earlier song setting 'Himmelsfunken' D.651, the subject of which is a longing for God (Example 3.4.11).⁴⁷ Indeed the last strophe of this lied expresses this as a longing for home:

Und das verwaiste Herz/ Vernimmt den stillen Ruf,
Und sehnt sich heimwardwärts/ Zum Vater, der er schuf!⁴⁸

Example 3.4.11

But this quotation/reminiscence is troped with the song's *Männerchor* registration, and the middle section (bb.15-23; esp. 21-23) has distinct rhythmic and melodic similarities to Schubert's most popular part song, *Das Dörfchen* D.598 (Example 3.4.12):

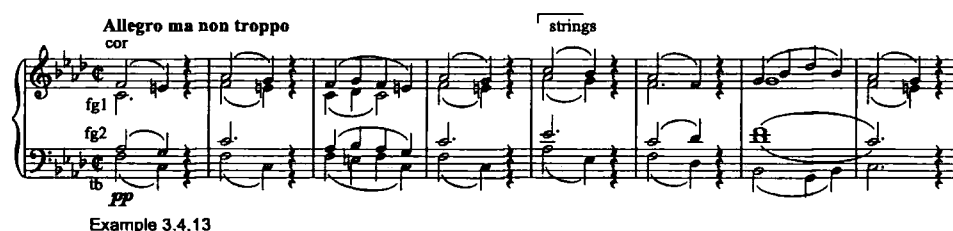
Example 3.4.12

⁴⁷ This similarity has been observed by Black (1998), 20.

⁴⁸ 'And the orphaned heart, hears the soft call, and longs to return home, to the Father, its Creator.' Translation Wigmore from Hyperion Schubert Collection 31 CDJ33031 p.36

Thus the troping of a religious poem with generic cues of the male part song – the Biedermeier domestic genre *par excellence* – encapsulates the central tone of the opera as discussed above. All explicitly religious aspects of the plot have been expunged in order to appease the censor, and thus Kupelwieser's libretto appears to become about the embracing of Biedermeier life and values. Home and fatherland are thus accorded an almost religious significance, and the desire to escape from a hostile situation is fulfilled through an act of communal music-making which would have been instantly recognisable to the Viennese public for which it was intended. It is evidently crucial that we recognise this as another example of 'phenomenal' or realistic music, for it is only as an actual act of music-making that its meaning and associations can be fully understood.

In contrast to the martial figure which, in the context of this opera, attains a particular topical symbolism, and to the references to the *Männerchor* which carry their own associations, there is a further figure which recurs throughout the work but whose 'meaning' is less clear. This might best be described as a sigh figure and it occurs in two forms in the overture. It appears in its primary form as the first theme of the Overture Allegro (Example 3.4.13):



In this form it bears an uncanny similarity to the similarly enigmatic first group of the A minor sonata D.784 from earlier the same year.⁴⁹ As the Overture drives towards its conclusion, the sighs become transformed into a chain of ascending suspensions over a dominant pedal which drives towards closure (Example 3.4.14). In terms of function, the former acts as a statement, perhaps of resignation signified by the iconicity with the sigh or symbolism of the *pianto*; whereas the latter expresses motion as drive to the cadence, perhaps yearning or striving towards a goal.

⁴⁹ Robert Hatten, personal communication September 2002.



Example 3.4.14

The first of these figures reappears in an altered form as the main theme of Florinda's Act II rescue aria (Example 3.4.6), here understood as the 'sighing Florinda'. Its rhythmic profile also becomes the *accompagnato* background to Fierrabras' soliloquy in the Act I finale, another literal sigh as he feels himself to be tormented by the misfortune of being unable to win Emma. This in turn derives from the ending of Emma and Eginhard's duet which immediately precedes this scene, which is filled out in the scale of the opening figure of the same number (Example 3.4.15). The sigh figure also reappears later in the Finale as the three sing a static ensemble where they express dread, empathy and betrayal (Example 3.4.16). The second figure, on the other hand, appears in connection with the young central characters at points of yearning or striving. It appears immediately prior to the defeat of Fierrabras in Roland's narration as discussed above. It also appears when Florinda breaks into the prison tower in search of Roland (Example 3.4.17), and in a major version when Roland sings as she regains consciousness immediately prior to their duet.

The final instance of the sigh figure occurs in the closing section of the Act III Finale where it falls on Karl's statement 'Vereint durch Bruderbande' (Example 3.4.18). The phrase concludes with the horn figure and is followed by a quotation from the chorus of Act II in which a band of Franks and Moors join together in a hymn of praise for peace; both warring factions are united through the love and efforts of the young protagonists. What this moment lacks in subtlety, it makes up for in a dramatic clarity which is altogether absent from the thematic material of *Alfonso*.

The primary function of the sigh/yearning figure is to separate the actions of the young protagonists (Emma, Eginhard, Fierrabras, Florinda and Roland) from the characters which surround them. This is also achieved through harmonic means. Largely, these characters venture through a wider, more expressive, range of modulations. We see this particularly in the penultimate number of the Act I recognition scene. Here the chorus of knights led by Ogier and Karl primarily inhabit

the tonic major, while the fearful Emma, Eginhard, Roland and Fierrabras pivot from the tonic minor to the \flat III and \flat VI. This separation is highlighted at the crux of this number where the young, fearful characters move back from \flat III via an augmented sixth chord (*O Nacht voll Grauen*), while the chorus settle on the dominant seventh (*O Friedensglück*) (Example 3.4.19).

Eginhard

Der A - bend Sinkt auf Stil - ler Flur,

Clarinet

Tutti Strings

Example 3.4.15

vln

vcl

Example 3.4.16

nur ihn, den Theu - ren muss ich schau - en nur ihn! Ach, mein Ro - land!

Example 3.4.17

Example 3.4.18

Karl

Ver eint durch Bru - der - ban - de ge - deiht nur Men - schen - glück, es

weilt im Va - ter - lan - de so gern der Söh - ne

Blick so gern der Söh - ne Blick

und Ju - bel - lie - der schal - len aus

The image shows a musical score for two vocal parts. The top part is for 'Em/Frb Eg/Rol' and the bottom part is for 'Karl/Og/ Knights'. The top part has lyrics 'O Nacht voll Grau - en!' and the bottom part has 'O Fre - dens - glück'. Dynamics include *ff*, *p*, and *fp*. The score is in G major and 4/4 time.

Example 3.4.19

The single most pervasive criticism of Schubert's operatic output is undoubtedly that the music is too heavily predicated on reflection rather than action. It is therefore surprising to find that so much of *Fierrabras* is shot through with numbers which foreground dramatic actions, decisions and grand tableaux of military force. These include the large Act I recognition scene discussed above, the Act I finale as a whole, the melodramas of the second act, and the third act scene during which Roland is about to be executed. The second act begins like the first with an opening tableaux of the Frankish knights in the cool morning air – the first opened with a chorus of spinning maidens – but the action soon gets underway with the arrival of the Moorish enemy and Eginhard's own capture. Following on the heels of this action, the duet between the Moorish princess Florinda and her maidservant Maragond creates a surprising space of repose in which we hear music which is expansive without being repetitive, harmonically intricate without being unfocused, and which instantly strikes to the heart of the character portrayed. Here we hear for the first time a mature Schubert who throws at this opera all of the compositional forces and devices which we have attributed to him: a complex sense of harmony and form; rhythmic devices which give shape to the drama; a topical backdrop which shapes our perception of the characterisation; and a coherence which makes this arguably the greatest number of the work. The sentiment expressed is extremely simple: Florinda sings of her love for Roland, Maragond of the disastrous consequences which their union would result in. For Florinda, her love for Roland is a beautiful, transcendent thing which takes her far above the earth towards the lofty goal of her desire, for Maragond it is an impossible illusion which must be constrained. And yet for Schubert, the battle between desire and restriction is not

encoded as one between the different vocal lines of the characters; indeed the lines of Maragond and Florinda complement each other and interpenetrate in such a way that the listener might not suspect that there is any conflict between them. Rather the dramatic conflict is transferred to a musical one between containment and expansion.

The overall tone of the duet is created by a proliferation of pastoral cues which reflect the aspects of nature of the text.⁵⁰ The time-signature of 6/8 and the relaxed Andante tempo marking are two of these. The consistent use of parallel thirds and parallel sixths, both in accompaniment figures (e.g. bb. 12ff) and in the voice parts themselves (esp. bb. 52ff), constitutes another pervasive pastoral cue. The frequent wind trill figures also suggest the feeling of nature, and the use of appoggiaturas tinge this with a sense of the lament. While Monelle observes that the descending second has its origins in a Baroque figure intended to be iconic of weeping, its Classical and Romantic use constitutes a freely symbolic act which evokes sadness and lament through sedimented convention rather than through its iconicity with the literal sigh from which it originates.⁵¹ Although it is methodologically dubious to place too much significance on key associations, it is interesting to note that A flat is not a conventionally pastoral key. Rather it is one which is associated with death, nobility, the other-worldly and the spiritual.⁵² And, given the presence of these themes in this duet, the choice of A_b as the key for this number is in itself quite conventional. Ferdinand Hand's *Ästhetik der Tonkunst* describes the *Affekt* of this key in terms which are particularly appropriate to this number:

A flat major is the key in which the soul rises above the earth and which expresses intimations of the other side or of a higher happiness.

[As dur ist die Tonart, bei welcher die Seele für ein Ueberirdisches aufgeht, und Ahndungen eines Jenseits oder einer höheren Beglückung faßt.]⁵³

Interestingly, Hand chooses as an example the Act I aria from Spohr's *Jessonda*, premiered in the year of *Fierrabras*' composition, in which the heroine laments the

⁵⁰ For a list of Pastoral cues see Hatten (1991), 97-99.

⁵¹ Monelle (2000), 66-73.

⁵² Steblin, R., *A History of Key Characteristics in the Eighteenth and Early Nineteenth Centuries* (Michigan, 1981), 281-285.

⁵³ cit. Ibid. 337. My translation.

distance which separates her from her beloved and sings of her heart taking flight far above the earth. That Jessonda's aria is similar not only in key but also in scoring and figuration, incorporating similar wind interjections and a freely lyrical cello line, further underscores the kinship of *Fierrabras* with emergent German Romantic opera. Both numbers belong, of course, in a widespread tradition of singing ostensibly about the separation of distance, but actually about landscape and nature; the *Suleika* settings with their musical icons of nature are the other obvious examples of this. Within a context of melodramatic action and martial scenes, the key associations and topical cues of Florinda's duet create a feeling of escapism which, according to Gramit, is one of the central aspects of the Biedermeier.⁵⁴

The feeling of unfolding expansiveness which runs through the piece is immediately apparent with the entry of Florinda after 15 bars of introduction. The introduction opens with two complementary two-bar phrases harmonised as I – V, ii – V – I. The first opens with a rising sixth from E_b to C in the upper voice and a rising octave from A_b in the bass line, the second with a rising third from B_b to D_b in the upper voice echoed by the lower voice. At Florinda's entry, however, these rising gestures become unfolded in different ways. The upper voice gesture becomes the opening of Florinda's vocal line and is arpeggiated through (E_b – C – A_b – E_b – C₁; bb.16-17) while a similarly expansive arpeggiation occurs across the A_b octave leap of the lower strings. The rising gesture which, in the introduction, occupied the space of a quaver, becomes expanded to occupy the space of a whole bar in both cases. Bar 19 takes up the same rising third gestures, only expanding them rhythmically by dwelling on and harmonising the lower A in the upper voice (in the introduction this was merely the tail of the trill figure), and filling out the bass third with a passing note, the tenor and bass prolonging $\frac{2}{ii}$ by means of a voice exchange. What takes place here is hardly revolutionary; it is simply the composing out of a basic gesture by means of diminutions. This does, however, set the tone of a feeling of expansion of a lyrical model which becomes crucial for the piece.

This expansion of a basic model is recreated on the larger level of the phrase. The opening pair of phrases of the introduction (bb.1-4; 5-11) has the same basic voice-leading structure as Florinda's first section (bb.16-21; 22-27), with the principal difference that the latter phrases do not close on the tonic in the middle (Example

⁵⁴ Gramit (1993), 362.ff.

3.4.20 at the end of this chapter). This avoidance of tonic closure in bar 21 welds together two phrases into one massively expanded gesture. If we conceptualise phrase expansion in terms of stages, this eschewal of tonic closure and construction of one large phrase must be the first; two short phrases instead become one large one. This dominant close arises through the expansion of ii to a full bar's length (b.19 with respect to b.3). The resulting four-bar phrase demands a complementary four-bar counterpart such as the one Schubert could have composed (Example 3.4.21):



Example 3.4.21

However, this eight-bar phrase is subjected to two further types of expansion. The first four-bar phrase is expanded by means of two additional bars, simply echo repetitions of bars 17 and 20.⁵⁵ The second expansion involves a harmonic interpolation present in the introduction itself, which is to say that it is an expansion with respect to the potential prototype given above (in Example 3.4.21), not with respect to the introduction. Like the interpolation in the introduction, this involves the tonicisation of $\flat VI$, asserted by means of its V^7 . We move through two Riemannian transformations, $I - i - \flat VI$ or $P + L$, and resolve as in the introduction through transforming $\flat VI$ into a functional German sixth. The result is a brief 'purple patch' of harmonic space nested within the structure of the original phrase. (In the graphs of these phrases, this harmonic interpolation is marked with a bracket.) The enharmonic peculiarities preserved in reduction from the orchestral score (see esp. bb. 8-9) suggest even more clearly that Schubert considers this shift in terms of harmonic transformations, and not merely in terms of the voice-leading function of the German 6th. C_\flat and B appear at the same time as do A_\flat and G^\sharp . We may recall similar enharmonic peculiarities in the G major quartet which arise from similar harmonic

⁵⁵ This method of expansion is observed by theorists from Kirnberger, to Riemann and beyond. While Kirnberger and others note that an echo repetition can have the function of either completing or expanding a phrase, Riemann notes that in the latter case suffixes (*Anhänge*) expand a phrase by extending a goal already reached. Rothstein (1989), 65, 73.

transformations nested within a contrapuntal framework. If we conceptualise Schenkerian reduction in terms of temporality and contrapuntal line, our use of Riemannian functions is by contrast one of spaciality and harmonic transformation. Neither constitutes an intrinsically better way of hearing the music; both present important perspectives on the section in question. Taken as a whole, the opening phrase conveys the sense of Florinda soaring above the world: first by creating a filling out of melodic space through arpeggiation and prolongation of the opening intervals;⁵⁶ then by extending the time spent away from the tonic as home through the eschewal of closure, and by extending this to a ten-bar phrase through the insertion of two suffix bars or *Anhänge* (18 and 21); and finally through the opening up of true space, harmonic space, which is understood as somehow timeless.

While the opening phrase of Florinda's line creates an expanded lyrical phrase within which a patch of harmonic space appears, the second phrase is predicated almost entirely on harmonic transformations. The accompaniment cycles through a series of harmonic transformations as shifts to the relative minor/major and semitone leading tone steps, R and L (or *Terzwechsel* and *Leittonwechsel* in Riemannian terms) (Example 3.4.22):

Example 3.4.22

The voice-part too suggests its harmonic origins by turning its opening arpeggiation figure (b. 16; 28) into the arpeggiations of successive harmonic transformations. The arrival of the line 'und jedem Glück entsag' ich immer . . .' ['and for every joy that I forever renounce'] temporarily frustrates this progression which seeks to continue to G_b. The renouncing of the joy which restricts this harmonic freedom is then 'rewarded' by the arrival of G_b and the completion of the phrase ['the sweet feeling of love rewards me']. If we examine the rhythmic balance of this section (bb.28-37), we

⁵⁶ We might recall that thickening of texture and expansion of line constituted spatialisation and deepening of visual perspective for Schnebel in his discussion of *Ihr Bild*.

see the ending of the phrase expanded with respect to the beginning rendering the phrase end-weighted and making the final harmonic transformation a goal which is celebrated and dwelt upon:

$$\begin{array}{ccccccc} \hline & & & & & & \\ 2 & + & 2 & & 2 & + & 3\frac{1}{2} \\ \hline \end{array}$$

The identification of soaring feelings of love with the traversal of harmonic space is a Romantic conceit evidently shared by E.T.A. Hoffmann. Following the narrating of 'Der Dichter und der Komponist' in his 1819 novel *Die Serapionsbrüder*, the assembled brotherhood sing a part song to the following text:

Klarer Liebesstern/ Du leuchtest fern und fern/
Am blauen Himmelsbogen/Dich rufen wir heut alle an/
Wir sind der Liebe zugetan/Dir hat uns ganz und gar zu sich gezogen/
Still und hehr die Nacht/Des Himmels Augenpracht/
Hat nun den Reihn begangen/Schweb' hoch hinauf wie Glockenklang...⁵⁷

Significantly for our duet, the idea of taking flight into the heavens is realised in Hoffmann's tale with *the same key scheme* as this section A_b, F minor, D_b major, B_b minor; the music itself is not notated but he carefully describes the key progression of the idealised song. While we may tend to associate Hoffmann more with affective key associations,⁵⁸ here we see harmonic logic associated with the traversing of space. The point is further reinforced in the story surrounding this song; Hoffmann writes 'At the words "Soar high etc." the music turned itself towards D_b major'.⁵⁹ Whether or not Schubert knew this story and realised Hoffmann's music must remain only a tantalising possibility. It does, however, serve to strengthen our interpretation of this section as a soaring through harmonic space.

⁵⁷ 'Clear star of love/ you illuminate far and wide/ the blue expanse of heaven/ we call to you today/ we are devoted to love/ it has bound us totally and completely to you. Quiet and clear is the night/ heaven's visible splendour/ has now begun its course/ soar high above like the sound of bells/ of loves sweet nocturne/ knock on heavens gates with passionate longing.' Hoffmann, E.T.A., *Die Serapionsbrüder*, (ed.) Wellenstein (Berlin, 1957), 111-112.

⁵⁸ Rita Steblin's study of these frequently cites instances from *Kreisleriana* of Hoffmann attributing affekts to keys. Steblin (1983), 153ff.

⁵⁹ 'Der Gesang hatte sich bei den Worten "Schweb hoch usw." nach Des-dur gewandt...', Hoffmann (1957), 112.

There is a further hermeneutic implication to the harmonic behaviour of the first two vocal phrases. The triumphant goal of each phrase (F \flat b.25; G \flat b.34) emerges via an L transformation of minor to major. In both cases, the minor→major shift coincides with the intersection between the two lines 'Und jedem Glück entsag' ich immer, Lohnt mich der Liebe süß Gefühl' such that the L transformation appears to be the bright reward for the tragic renunciation of happiness. Thus the use of the parallel minor is not colouristic but rather a stage on the route to the L related major. This puts us in mind of Adorno's statement that: 'The rescue happens in the smallest step; in the shifting of the minor to the major third; so close they are to each other that the minor third appears after the unveiling of the major to be its shadow.'⁶⁰ Although Adorno evidently refers here to a parallel key shift, he makes the point that the two are inextricably related; one follows as an outgrowth of the other. We may also be reminded again of Schubert's own words: 'Whenever I attempted to sing of love, it turned to pain. And again, when I tried to sing of pain, it turned to love. Thus were love and pain divided in me.'⁶¹ In this musical context, we see that just as for Florinda the renouncing of happiness brings the reward of love's sweet feeling, the turn to a parallel minor opens up a pathway towards a new harmonic space. The dramatic theme of divided love and pain becomes harmonically pivotal for this duet. To use Adorno's terms, these are not key areas through which we move with a feeling of temporal necessity, rather they are points of perspective through which we view their counterparts.

By this point in the duet, the expansion of the previous phrase has resulted in a metrical instability. In bar 37 we begin a four-bar phrase on the half-bar. At this point the second soprano Maragond enters with her words of dissent: 'O mög der Schein dich nicht bethören/ Verath ist der Gedanke schon.' And if there is an actual 'note' of dissent, it is the F \flat of bar 42 colouring the subdominant minor. As before (see bar 22-23), the intrusive note becomes pivotal in introducing the new key area of C \flat major as the fourth potential instance of the subdominant minor triad (D \flat , F \flat A \flat) becomes transformed into a diminished seventh (B \flat D \flat F \flat G) resolving to C \flat . This leads to an over-expansion of the phrase by a further four bars. Furthermore, the 2x2 bar question and answer of Maragond and Florinda is now turned into a seamless unit on the \flat III (bb. 46 $\frac{1}{2}$ -53 $\frac{1}{2}$). While the previous phrases climax on a harmonic goal

⁶⁰ Adorno (1982), 31.

⁶¹ Deutsch (1946), 227.

which dissolves back to the tonic, here the phrase both dwells and concludes on the harmonic goal of \flat III, giving the feeling of finally breaking free.

At bar 53 a certain metrical instability is still apparent. The melodic line suggests a downbeat on the half-bar, whereas the entry of the bass on the first beat of 54 contradicts this. The canonic entries of this melodic line also suspend any sense of hypermeter. It is as if we are floating in rhythmically unanchored limbo in which major and minor battle it out. As the major is restored, so is the sense of a downbeat metrical anchor (bar 58) with the entry of the lyrical cello line.

While \flat III at bar 46 is not approached through the transformation $I \rightarrow P \rightarrow R$, the closing section asserts this connection by continually veering towards \flat III via this pathway (bb.70-72; 83-85) and dwelling on this goal disproportionately. Throughout this number, the major inflections R and L of the tonic minor are the climactic goals of phrases and, interpreted within the contexts of the libretto, Adorno's critique and even Schubert's *Traum*, they may be understood as episodes of transcendence achieved through pain.

While Florinda's idealised love for Roland is musically realised as an act of breaking free and revelling in the joy of longing which is achieved through the pain of separation, when the two lovers are finally reunited in their duet of No 15, the reality is evidently somewhat different. Just as in *Alfonso* Estrella appears simple and corporeal compared to the fairy-tale like cloud maiden with whom she is evidently to be compared, when Roland and Florinda actually meet, they appear to be just another Biedermeier couple. The dividedness of Florinda's Romantic number, becomes tamed in various ways. As shown above (Example 3.4.10), the reused *Salamanka* theme ends with the *Vaterland* horn figure falling on the text 'love sets us free'; the musical panacea for all woes in this opera is evidently a longing for home and fatherland. Throughout the duet, the accompanying strings play the 6/8 figuration of Emma's spinning number and the phrase construction and harmonic profile is simple compared to Florinda's duet with Maragond.

The contrast between the Romantic longing of 'Weit über Glanz' and the stylised *Gemütlichkeit* of Roland and Florinda's duet reflects one of the most important aspects of the Biedermeier. As we have seen, *Fierrabras* exhibits many notable Biedermeier attributes and realises these musically. The troping of pastoral hymn and *Männerchor* in *O Teures Vaterland*, appears to accord peace and domestic stability an almost religious significance, and the pervasive recurrence of figures from

this number makes these a major theme of the work. Equally, the renouncing of military action for the stability of the peaceful pastoral tableaux both shapes the dramatic rhythm of the first act, and characterises *Fierrabras* as a hero of Biedermeier consciousness. Whereas the static pastoral scene is pervasive throughout *Alfonso and Estrella*, the drama of *Fierrabras* is created through the act of the embracing of this peace. The conventional return of stability is reflected by the implausible drawing together of themes associated with the disaffected youth, the *Vaterland* horn figure and the rejoicing Moors. But the change in Florinda's musical character between these two duets reflects one of the most characteristic features of the Biedermeier; the feeling of compromise. We may at this point recall Nemoianu's thesis that the Biedermeier results from the collapse of high Romanticism:

The core of the Romantic model and purest form – the possible-impossible expansion of the self to a seamless identification with the universe – is unstable and explosive. . . . The brew does not age well, not because it is too weak, but because it is too strong.⁶²

Divorced from its object, Roland, Florinda's love appears to be Romantic and transcendent, embracing the irreconcilable opposites of love and pain and envisaging them harmonically and in terms of the timelessness of phrase expansion. Forced to exist within the context of the political and ideological battles of the opera, Florinda's love appears compromised and tamed. Thus Nemoianu's description of what remains appears to describe *Fierrabras* perfectly: 'The central concern of the period seems to be how to preserve the hope for a regenerative change in history while taking into account defeat and limitation.'⁶³ This reminds us that a musical Biedermeier is characterised not only by the values which it appears to embrace (simplicity, conventional return to established order, fatherland etc.) but also by the Romantic ideology (mystical subjectification of nature, irreconcilability of opposites, composed timelessness) which it appears to reject. Evidently *Fierrabras* is not the only character whose nature is tamed as it embraces a new set of values; his Romantic sister Florinda follows suit, and indeed the spinning figuration of this later duet suggests that in so doing she becomes more like her Frankish counterpart, Emma.

⁶² Nemoianu (1984), 27.

⁶³ *Ibid.* 40.

With the exceptions of the incidental music to *Rosamunde* and the fragmentary late sketches for Bauernfeld's *Der Graf von Gleichen*, *Fierrabras* was Schubert's last large-scale attempt at writing music for the stage. While the dramatic themes of this opera may prove difficult to understand, the evident success of this opera is the integration of characteristically Schubertian musical techniques within a dramatic structure which for the first time holds together both as music and as drama. It is also historically evident that Schubert's reasons for ceasing to write opera were less to do with his abilities as a composer and more a result of the inhospitable climate which took hold of the Viennese stage during the course of 1823. Had Schubert seen *Fierrabras* performed, his competency as a composer for the stage might have improved still further. Certainly it is no idle thought to wonder how our perceptions of Schubert as a composer of opera might have changed had he continued to write grand opera of this calibre.

Table 3: Fierrabras Act I Recognition Scene

page/sys/ bar	Key	"Section"	First Text Line	Drama
62/1/1	D	March with Chorus	Zu hohen Ruhmespforten/Den Sieger lasst uns	Karl ascends to the throne surrounded by loyal knights and women
75	-	Spoken dialogue	Des Himmels Segen hat der Waffen Glück begünstigt!	Karl addresses the court and tells them that they will soon offer peace to their enemies.
76/1/1	B _b	Ensemble – Recit	Die Beute lasst...	Roland asks a favour of Karl
79/1/1	B _b	Chorus	Der Siegers Lohn	The chorus sing as the Moorish prisoners approach the throne
	F	Arioso (Karl)	Des Krieges Loos	Karl grants freedom to the prisoners
85/1/4	F	Chorus	Dem Fürsten Heil	Chorus praise Karl's beneficence
88/2/1	d	Recit	Wer bist du...	Karl notices Fierrabras standing alone. Roland tells him it is because he is ashamed
90/2/1	d→D	Narration	Am Rand der Ebne	Roland tells of Fierrabras's bravery in battle and his defeat as a true hero
95/1/5	D→A	Recit	Darum ward er besiegt	Karl learns Fierrabras' true identity and frees him nonetheless
97/1/1	A	Scene Chorus + Solo (Emma)	Des Landestöchter fromme Pflichten	Emma offers a wreath to her heroic father.
102/1/1	E	Solo (Karl)	Mir dürft ihr Gute	Karl defers the honour to Roland.
103/1/3	A	Chorus	Dir reichen wir	The wreath is presented to Roland. In spoken Melodrama, Fierrabras recognises Emma as the woman he loves
109/1/1	F	Ensemble + chorus	Dem Erfolg vertrauen	F/R/Eg/Em fear for the future. The others pray for the return of peace.
124/1/1	D	Chorus	Zu hohen Ruhmespforten	All exeunt but F + R

Example 3.4.3

The musical score for Example 3.4.3 is written for piano and cello/contrabass. It consists of 23 measures, with measure numbers 1, 9, and 234 indicated at the beginning of their respective systems. The piano part is in the upper staves, and the cello/contrabass part is in the lower staves. The score includes various musical notations such as notes, rests, and dynamic markings like 'fp' and 'cresc.'.

Measure 1: Piano part begins with a half note G4, followed by a half note A4. Cello/contrabass part begins with a half note G2, followed by a half note A2. A slur connects the piano and cello/contrabass parts.

Measure 2: Piano part continues with a half note B4, followed by a half note C5. Cello/contrabass part continues with a half note B1, followed by a half note C2. A slur connects the piano and cello/contrabass parts.

Measure 3: Piano part continues with a half note D5, followed by a half note E5. Cello/contrabass part continues with a half note D2, followed by a half note E2. A slur connects the piano and cello/contrabass parts.

Measure 4: Piano part continues with a half note F5, followed by a half note G5. Cello/contrabass part continues with a half note F2, followed by a half note G2. A slur connects the piano and cello/contrabass parts.

Measure 5: Piano part continues with a half note A5, followed by a half note B5. Cello/contrabass part continues with a half note A2, followed by a half note B2. A slur connects the piano and cello/contrabass parts.

Measure 6: Piano part continues with a half note C6, followed by a half note D6. Cello/contrabass part continues with a half note C3, followed by a half note D3. A slur connects the piano and cello/contrabass parts.

Measure 7: Piano part continues with a half note E6, followed by a half note F6. Cello/contrabass part continues with a half note E3, followed by a half note F3. A slur connects the piano and cello/contrabass parts.

Measure 8: Piano part continues with a half note G6, followed by a half note A6. Cello/contrabass part continues with a half note G3, followed by a half note A3. A slur connects the piano and cello/contrabass parts.

Measure 9: Piano part continues with a half note B6, followed by a half note C7. Cello/contrabass part continues with a half note B3, followed by a half note C4. A slur connects the piano and cello/contrabass parts.

Measure 10: Piano part continues with a half note D7, followed by a half note E7. Cello/contrabass part continues with a half note D4, followed by a half note E4. A slur connects the piano and cello/contrabass parts.

Measure 11: Piano part continues with a half note F7, followed by a half note G7. Cello/contrabass part continues with a half note F4, followed by a half note G4. A slur connects the piano and cello/contrabass parts.

Measure 12: Piano part continues with a half note A7, followed by a half note B7. Cello/contrabass part continues with a half note A4, followed by a half note B4. A slur connects the piano and cello/contrabass parts.

Measure 13: Piano part continues with a half note C8, followed by a half note D8. Cello/contrabass part continues with a half note C5, followed by a half note D5. A slur connects the piano and cello/contrabass parts.

Measure 14: Piano part continues with a half note E8, followed by a half note F8. Cello/contrabass part continues with a half note E5, followed by a half note F5. A slur connects the piano and cello/contrabass parts.

Measure 15: Piano part continues with a half note G8, followed by a half note A8. Cello/contrabass part continues with a half note G5, followed by a half note A5. A slur connects the piano and cello/contrabass parts.

Measure 16: Piano part continues with a half note B8, followed by a half note C9. Cello/contrabass part continues with a half note B5, followed by a half note C6. A slur connects the piano and cello/contrabass parts.

Measure 17: Piano part continues with a half note D9, followed by a half note E9. Cello/contrabass part continues with a half note D6, followed by a half note E6. A slur connects the piano and cello/contrabass parts.

Measure 18: Piano part continues with a half note F9, followed by a half note G9. Cello/contrabass part continues with a half note F6, followed by a half note G6. A slur connects the piano and cello/contrabass parts.

Measure 19: Piano part continues with a half note A9, followed by a half note B9. Cello/contrabass part continues with a half note A6, followed by a half note B6. A slur connects the piano and cello/contrabass parts.

Measure 20: Piano part continues with a half note C10, followed by a half note D10. Cello/contrabass part continues with a half note C7, followed by a half note D7. A slur connects the piano and cello/contrabass parts.

Measure 21: Piano part continues with a half note E10, followed by a half note F10. Cello/contrabass part continues with a half note E7, followed by a half note F7. A slur connects the piano and cello/contrabass parts.

Measure 22: Piano part continues with a half note G10, followed by a half note A10. Cello/contrabass part continues with a half note G7, followed by a half note A7. A slur connects the piano and cello/contrabass parts.

Measure 23: Piano part continues with a half note B10, followed by a half note C11. Cello/contrabass part continues with a half note B7, followed by a half note C8. A slur connects the piano and cello/contrabass parts.

16

17

23

235

This musical score is written for piano and consists of two systems. The first system contains measures 16 through 23, and the second system contains measures 235 through 242. The music is written in treble and bass staves. Measure 16 features a whole note chord in the bass staff and a whole note chord in the treble staff. Measure 17 is a whole rest in both staves. Measure 18 is a whole note chord in the bass staff and a whole note chord in the treble staff. Measure 19 is a whole note chord in the bass staff and a whole note chord in the treble staff. Measure 20 is a whole note chord in the bass staff and a whole note chord in the treble staff. Measure 21 is a whole note chord in the bass staff and a whole note chord in the treble staff. Measure 22 is a whole note chord in the bass staff and a whole note chord in the treble staff. Measure 23 is a whole note chord in the bass staff and a whole note chord in the treble staff. Measure 235 is a whole note chord in the bass staff and a whole note chord in the treble staff. Measure 236 is a whole note chord in the bass staff and a whole note chord in the treble staff. Measure 237 is a whole note chord in the bass staff and a whole note chord in the treble staff. Measure 238 is a whole note chord in the bass staff and a whole note chord in the treble staff. Measure 239 is a whole note chord in the bass staff and a whole note chord in the treble staff. Measure 240 is a whole note chord in the bass staff and a whole note chord in the treble staff. Measure 241 is a whole note chord in the bass staff and a whole note chord in the treble staff. Measure 242 is a whole note chord in the bass staff and a whole note chord in the treble staff.

31

dim7

dim7

39

dim7

dim7

Example 3.4.6

Florinda

7

F. Die Brust, ge - beugt von

11

F. Sor - gen, be - stürmt des Schmer -

15

F. - zes Gluth; ja ta ge, wil - der

19

F. Mor - gen dein Se - gens - gruss ist Blut,

f

simile

p

cresc.

f

Example 3.4.7 *più moto.*

Florinda

jetzt schnell an's Thor hin - ab, die

5

Rie - gel lasst er - klir - ren, eh' sie zum Flam - men -

8

grab den Freund, den theu - ren, füh - ren

Example 3.4.20

The musical score is divided into two systems, each with a treble and bass staff. The notation includes various guitar-specific elements:

- System 1 (Measures 1-11):**
 - Measures 1-3: Treble staff has a bracketed group of notes labeled 'P' and 'L'. Bass staff has a whole note chord marked with a flat and a 'b'.
 - Measures 4-8: Treble staff has a bracketed group of notes labeled 'P' and 'L'. Bass staff has a whole note chord marked with a flat and a 'b'.
 - Measures 9-11: Treble staff has a bracketed group of notes labeled 'P' and 'L'. Bass staff has a whole note chord marked with a flat and a 'b'.
- System 2 (Measures 12-27):**
 - Measures 12-15: Treble staff has a bracketed group of notes labeled 'P' and 'L'. Bass staff has a whole note chord marked with a flat and a 'b'.
 - Measures 16-19: Treble staff has a bracketed group of notes labeled 'P' and 'L'. Bass staff has a whole note chord marked with a flat and a 'b'.
 - Measures 20-23: Treble staff has a bracketed group of notes labeled 'P' and 'L'. Bass staff has a whole note chord marked with a flat and a 'b'.
 - Measures 24-27: Treble staff has a bracketed group of notes labeled 'P' and 'L'. Bass staff has a whole note chord marked with a flat and a 'b'.

Chord symbols and fret numbers are indicated throughout the score:

- Measures 1-3: I, 0, V, II
- Measures 4-8: I, 6, 4, -
- Measures 9-11: I, 6, 5, 3, #6, 7, 5, V, I
- Measures 12-15: I, 6, 4, -
- Measures 16-19: I, 0, V, II
- Measures 20-23: I, 6, 4, 5, 3, V, 7, 5, 6, 4
- Measures 24-27: I, 6, 4, 5, 3, #6, 7, 5, V, I

Articulation marks include 'closed' and 'open' with arrows pointing to specific notes. The page number 239 is located at the bottom right.

4. Conclusion

Irrespective of the inherent literary worth of the libretti to our four operas, it should now be clear that these texts presented Schubert with a wide range of opportunities for compositional experimentation. *Die Zwillingsbrüder* may not be a work of great literary merit, but the pairing of arias for Franz and Friedrich presented Schubert with the opportunity to compose contrasting musical characterisations. As I have previously remarked, the idea of doubling or demonic reversal elicited quite distinctive responses from the composer and we should expect no less in this case. Thus, by studying how these character pieces differ, we might better understand which musical elements have a bearing on interpretation. Our analyses in Chapter 3.1 show that outer form (strophic Lied versus ABA' aria) is certainly one aspect of Schubert's technique which contributes to our understanding of character; Franz performs an apparently phenomenal Lied, while Friedrich soliloquises in a form which has the capacity for growth and reflection. Semiotic aspects of the musical characterisations are linked through their common ground in nature. The opposed signs of the rapidly rising scale (as lightning or rising waves?) and the falling sigh gesture (a typically pastoral sign) characterise these two brothers in the musical foreground. As the first section of Friedrich's Aria returns, further pastoral gestures (pedals and 'birdsong') arise which colour this return and create the feeling of homecoming. And yet these iconic gestures also become features of the middleground of both numbers; rising progressions permeate Franz's Lied, while falling gestures run through Friedrich's Aria and become structural features of the number: a dominant close is avoided through the chromatically descending bass; long range dissonance is resolved as the longing for home is fulfilled; and the vocal line sinks beneath the surface in a gesture iconic of burial in homeland.

In my analyses of numbers from *Alfonso und Estrella*, the hermeneutic qualities of Schubert's harmonic experimentation take centre stage. While foreground harmonic gestures evidently plays a significant role (heroic major horn calls characterise heroes while diminished sevenths and tritones attach to villains), harmony evidently plays a deeper structural role in this opera. In the *Wolkenmädchen* ballad, we find that Cohn's hexatonic cycle, a product of Neo-Riemannian harmonic theory, is present at what one might call the 'background' level. Our investigation of form in Schubert's instrumental music has led us to conclude that such cycles create pockets of harmonic space which have a bearing on our experience of temporality.

(Movement within the hexatonic cycle may be construed as 'weightless' or without gravity; no stage must necessarily resolve to the next, rather each shift is sudden and unprepared.¹) Indeed, as in the development of D.887, these cycles often appear to negate the dynamics of established forms. Given that the hexatonic cycle disrupts our experience of temporality when it occurs within an established form, the implications when it appears as the structuring formal principal of a piece writ large are evidently much greater. Our examination of the text of Froila's ballad reveal it to be an example of the Romantic literary *Märchen*. Structurally, temporality in the *Märchen* is not just a container for events but is in itself thematic; as we have seen, a tendency to play with the dimensions of time and space is a trait of Romantic writings and one which Schubert was evidently aware of. Furthermore, temporal progression in the Romantic tale exhibits certain characteristics: motion forward is a result of sudden events while narrative progression also includes backward and forward glances. Most significantly we have seen that for Novalis, the narrative scheme of the *Märchen* is analogous to harmonic progression (the Aeolian harp) which creates an underlying unity which organises the apparently chaotic foreground. Thus, for Schubert, Froila's ballad is understood as musical not simply in the sense that he performs phenomenal/realistic song, but in the sense that it signifies the higher symbolic perfection of Novalis' *Märchen*-like music by virtue of its harmonic deep-structure. The conspicuous use of the orchestral harp in this number thus denotes both phenomenal performance and these symbolic musical qualities. The break suggested by the suddenly intrusion of recitative (in the manner of the early through-composed Ballad) represents the shattering of this illusion as the Romantic utopian vision becomes the subject of a Biedermeier prohibitive tale; what harmonic magic constructs, the generic traits of this recitative destroys by reasserting Froila's presence as the narrator.

While the augmented-triad background to Froila's ballad fits with its symbolic function as magical and otherworldly, the diminished-seventh key scheme of Adolfo's scene is reminiscent of the same procedure in Weber's *Wolfschlucht* scene, which dates from the same time and may have influenced Schubert. The foreground tritones and diminished sevenths not only become a structuring force which sets the

¹ As we have seen, both of these aspects are inherent within Adorno's critique. Unlike (mid-period) Beethovenian music, Schubert's forms move without a sense of temporal necessity and modulations are often sudden shifts, changes of the light, rather than prepared goals.

conspiratorial tone for the scene as a whole, they also become a harmonic context within which to understand Adolfo's narration as deceitful. The recapitulation of the primary theme of Aria II (in D rather than D_b) returns us to the governing key system; it may thus be viewed as a change of perspective. It is not the content of Adolfo's story which is inherently false (Mauregato did indeed take the throne from Froila), rather it is the manner in which Adolfo situates himself. When the A section of this second aria returns it is in the 'correct' key; here Adolfo reveals that he too assisted Mauregato in this treachery.

One of the greatest problems of *Alfonso und Estrella* has been revealed to be that of rhythm (monotonous declamation and phrase structure and bad dramatic pacing). This problem is addressed in *Die Verschworenen*, in part by the inherently more dramatic numbers of Castelli's libretto, but principally by Schubert's musical response to these. The libretto itself resolves the problem of dramatic pacing and affords opportunities for a wider range of declamation. Our analyses of the two duets from this work demonstrate that the miniature dramatic progressions of these numbers are realised in rhythmic terms. The developing sense of phrase construction which characterises Schubert's mid-to-late style becomes an agent of drama. In the first duet, expansions and retardations of phrase endings heighten the sense of comedy as each character challenges the other on their fidelity. More importantly, the opening passage of this duet, and of the opera as a whole, is a massively expanded phrase which creates the impression of an expanded moment of surprise and joy, before the question and answer session of the duet begins. The second duet is also structured around a series of progressively expanding phrases and rhythmic tensions and resolutions.

As the last completed opera of Schubert's career, *Fierrabras* should have been his crowning achievement. The circumstances of its commission suggest that he was required to create a characteristically Germanic work and to this end he evidently turned to techniques which were deemed characteristic of the emergent German Romantic opera. These included: a return to the use of melodrama, a greater and more distinctive presence of reminiscence motives and the composition of an overture with thematic connections to the work. And yet despite the musical traits of Romantic opera, the dramatic themes of *Fierrabras* are overwhelmingly Biedermeier. Adorno's critique reveals an uncomfortable tension in Schubert's music between the otherworldly and the bourgeois. As soon as we approach one we find ourselves in the

other. While on the one hand 'the bright overworld, from which the way into this realm [the dark underworld] always begins, is little more than a means of perspective'², Schubert's music often comes so close to empirical reality that it almost breaks free from the realm of art.³ In Biedermeier music the trajectory is always back towards the realm of home and the worldly. The sense of limitation which characterises the Biedermeier is strongly present in *Fierrabras* and becomes realised in a variety of ways. The transformation of the 'moorish motive', which is the subject of continuous development, into a chorale figure, suggests a move from Fierrabras's angry isolation into his new community. Furthermore, we have seen in *O Teures Vaterland* that the troping of the chorale and the reference to *Himmelsfinken* theme with the *Männerchor* reminiscent of *Das Dörfchen* suggests a quasi-religious reverence for home and the fatherland. Indeed this is carried through many of the other numbers through reminiscences of this chorus.

But the Biedermeier nature of this opera is not simply a matter of topics, motives and significant gestures. It is also captured through Fierrabras's own shift of character in the Act I recognition scene which, in a manner typical of the opera as a whole, moves from dramatic action to static tableaux.⁴ At first he is portrayed through Roland's narration as battling and restless, an impression which is created through the successive minor-neapolitan shifts (derived from the opening bars of the overture) and through a rhythmic acceleration of this process. Following his recognition and pardon, he is then cast as the observing subject of the scene in which Emma presents the victors wreath. Here the pastoral Emma leads a chorus of pious women and is received by her father with authoritative beneficent warmth. The musical realisation of these characteristically Biedermeier qualities expresses Fierrabras's new nature as he declares his love for Emma and converts into a secularised Biedermeier Christian.

We have also seen that Florinda undergoes her own conversion. When she sings of her own idealised love it encodes particularly Romantic conceits: a subjective identification with nature and space, a desire to escape and an irreconcilability of dependent opposites (suffering and love). Musically these are realised as expanding phrase-structure, a soaring through harmonic space, the progression through to the

² 'die helle Oberwelt, von der immer wieder der Weg in dies Reich beginnt, ist wenig mehr als perspektivisches Mittel', Adorno (1982), 29.

³ Ibid. 32.

⁴ Thomas (1982), 88.

parallel (P) and relative (R)/leading tone shift (L) transformations so that the transcendent major appears to arise through the tragic minor. The final triumph is an end-weighted shift towards \flat III. While the earlier progressions subsume their harmonic goals within phrases which ultimately close on the tonic, we have seen that the central section of this duet revels in its flattened mediant close as if Florinda's longing has been temporarily fulfilled.

And yet as we have seen, when Florinda actually meets Roland, her duet takes place against a chorus of knights, grounded by the usual pastoral pedals, curtailed by the 'Vaterland' figure and accompanied by Emma's spinning figuration as Florinda too becomes tamed. As Friedrich Dieckmann writes: 'a hopelessly Biedermeier, consciousness of Biedermeier hopelessness frustrates the construction of the drama'

⁵ And it is here that perhaps the greatest problem of all of the operas lies. As we have seen, the bourgeois topicality of instrumental Schubert often gives way to developments which Adorno understands as isolated Romantic wandering. By obsessing on a cadential figure (D.959), revelling in harmonic space (D.887), and refusing to drive forwards and then ultimately recapturing home anew (D.960), the narratives and outcomes of great Schubertian works may be understood as Romantic or transcendent. But in all of the operas, this Romanticism is curbed. While the plots invariably end with compromise,⁶ Schubert's music too appears compromised. whereas much of the instrumental music may evoke bourgeois topicality as a point of departure, in these Biedermeier works it is this stable home which is longed for, celebrated and recaptured without change.

By studying each opera according to different aspects of Schubert's musical language I certainly do not mean to suggest that the meanings of any one of them arise solely from these parameters, i.e.: *Die Zwillingsbrüder* is not simply *about* musical conventions; *Alfonso* is not *about* harmony; *Die Verschworenen* is not *about* rhythm; *Fierrabras* is not just *about* musically encoding the Biedermeier. I do, however, believe that we have seen that in each of these operas, an aspect of Schubert's developing compositional technique becomes a solution to a dramatic problem. In *Die Zwillingsbrüder* we have seen example of character pieces which

⁵ 'Ein hoffnungslos biedermeierliches, biedermeierlich hoffnungsloses Bewußtsein vereitelt die Konstruktion von Drama...' Dieckmann (1985), 82.

⁶ Franz renounces his claim on Lieschen; Mauregato and Adolfo repent and are both forgiven; the womenfolk of *Die Verschworenen* themselves dress for battle and the men thus promise never to leave; Boland repents and Fierrabras is left alone, but happy with his new bourgeois mindset.

play with recognisable conventions to create both opposed and twinned portrayals of the brothers of the title. In *Alfonso*, harmonic devices are structuring forces which shape dramatic sections, set them in relief from their surroundings, and function both symbolically and allegorically in the senses defined by Moritz. In *Die Verschworenen*, rhythmic aspects of Schubert's technique, create musical responses to the problem of dramatic stasis and monotony. In *Fierrabras*, all of these parameters function to create an overall dramatic impression and one which is most clearly recognisable as Schubertian. The troping of themes and topics creates a Biedermeier tone which is carried through the work by a network of reminiscence motives, one which is greater in breadth than any found in the previous works. The pastoral stasis found in so many numbers follows as a result of more dramatic forward-moving music, created through rhythmic accelerations and the implications of strongly-directed voice-leading. Here, this both creates the dramatic rhythm absent from the chain of lyrical numbers in *Alfonso*, and characterises *Fierrabras* himself as the hero who turns from action to passive withdrawal. And, in Florinda's duet 'Weit über Glanz', the characteristically Romantic desire to escape and the subjective identification with nature is realised in terms of lyrical expansion (filling out of melodic intervals), phrase expansion, and harmonic freedom (similar to that found in Hoffmann's idealised song from *Die Serapionsbrüder*). Furthermore the typical delight in irreconcilable opposites (here renouncing joy/rewarding love) is realised harmonically as pathways through the parallel tonic minor to R/L related keys which are rhythmically expanded as temporary illusory goals; as Florinda's suffering gives rise to love, P prepares the way for R and L.

Analysis of these operas raises some possibilities for interpretation of other works. Through comparing the twinned arias of *Die Zwillingsbrüder*, we may see which aspects of form in Schubert might be deemed meaningful. The descending 'sigh figures' of 'Liebe theure Muttererde' are some of these. The rejection of a potential dominant modulation is a particularly good example; evading a dominant modulation via stepwise descent constitutes in this case an act of resignation or evasion of drama which is evidently characteristic of Schubert's reluctance to leave home as observed by Webster. Equally our examples from *Alfonso* have a strong bearing on Schubert's instrumental music. We see on the one hand that a key scheme may be understood as meaningful in itself (augmented triad as magical, diminished seventh as evil). More importantly, the interpolation of a hexatonic cycle is seen in

this case to have a bearing on narrative mode, suspending the dramatic time of the surrounding action for an enclosed space with its own temporal dimensions. Given the tendency of scholars to interpret instrumental music as narrative,⁷ perhaps such cycles within established forms may also be understood in this way. The use of a large-scale phrase expansion as the opening of *Die Verschworenen* has been interpreted as a suspended moment of surprise and delight. Perhaps similar instances in the instrumental music may also be interpreted in this way? We have further seen (Chapter 2.5) that Schubert scholarship has difficulty identifying specifically Biedermeier elements of his music. The findings of *Fierrabras* have shown ways in which aspects of the Biedermeier are encoded by Schubert's music and some of these findings (for example the troping of topics in *O teures Vaterland*) may have a bearing on other works.

With the exceptions of *Die Verschworenen* and *Fierrabras*, it seems likely that revivals of Schubert's operatic works will, like Liszt's production of *Alfonso*, be little more than acts of piety. Indeed this may be no great loss to the stage for it is evidently difficult for us to imagine the appeal of these works given that they belong to an embryonic period of Romantic opera and to a time when dramatic content was so clearly constrained. However, the high quality of Schubert's music is indisputable. Furthermore, it must now be clear that in order to understand the emergence of Schubert's characteristic style in *Lieder* and instrumental music, modern scholarship *must* reckon with the parallel world of his theatre music or risk presenting an incomplete picture. For the characteristic features of Schubert's musical personality are not only increasingly present in these works, they are also responses to particular dramatic problems and as such are loaded with an overwhelming sense of content. From our study of analytical responses to Schubert's music, it should be clear that we are still grappling with fundamental questions of how we hear quite well-known works. As a fuller understanding of Schubert's technique emerges, we must continue to return to the operas in order to address fully more elusive questions of meaning.

⁷ e.g. Pesic (1999); Marston (2000).

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Appendix 1: Synopses

Die Zwillingsbrüder – Georg Hoffmann

The plot of this one-act farce with song (*Posse mit Gesang*) concerns the homecoming of two twin brothers (both played in the Viennese premiere by Vogl). In the opening number, a young man called Anton awakens his betrothed Lieschen on the morning of her eighteenth birthday with a serenade accompanied by a chorus of country-folk (1). He presents her with a bouquet of flowers and the two sing a love duet (2). Lieschen's father reminds them that they must wait until sunset before they can become properly engaged, for years ago he had promised Lieschen's hand to Franz Spiess if he returned to the village within eighteen years. Objecting to her father's insistence that she is still a child, Lieschen sings an aria (3) about her growth into womanhood.

The arrival of Franz Spiess, returning unexpectedly home from the foreign legion, spells disaster for the union of the young lovers. He introduces himself in a gruff *Seemannslied* (4) and claims his right to marry Lieschen who arrives on stage with Anton to hear the bad news. Upon hearing that the two were almost married Franz begins a Quartet with the lovers in which he remarks that he has arrived at the right time, while the others lament the situation (5). Franz leaves to seek out the magistrate in order to claim Lieschen's 1000 Thaler dowry, still determined to marry her, and continue the Spiess line in the light of his brother's presumed death.

Meanwhile Franz's brother Friedrich, who has not died, and sings a peaceful aria in which he welcomes own his return home (6). Lieschen's father encounters Herr (Friedrich) Spiess, apparently changed and Lieschen herself receives Friedrich's perplexed blessing to marry Anton. Friedrich then encounters the magistrate who asks him to come to the office and sign for the dowry and its interest. Anton and Lieschen sing again of their joy at reunion (7).

Herr (Franz) Spiess arrives again and insists that he marry Lieschen. All react with confusion in the following trio (8). Believing Franz to be insane, Lieschen's father is no longer happy to consent to this marriage. They all insist that Spiess be taken to the court house (Quintett mit Chor 9). The confusion is dissipated as the brothers arrive on stage together and embrace, as do Anton and Lieschen. The concluding chorus (10) ties up the happy ending.

Alfonso und Estrella – Franz von Schober

This through-composed opera is in three acts. Following the overture, Act I opens in a secluded valley just before sunrise where the country-folk are preparing a celebration for Froila the usurped king of Leon. In the Chorus (1) they hurry around quietly making their preparations. The king wakes and sings a greeting to the sun. He recalls his days as king and vows that his son Alfonso will himself be king one day (2). In the second chorus, the country-folk present their King and his son with gifts (3) and Alfonso is presented with a horn as a signal of leadership. Father and Son sing a duet (4). But Alfonso is unhappy being confined to the valley and wishes to move beyond it (5). Froila promises that it will not always be so and presents him with the chain of Eurich's, a relic of the land, in promise that one day Alfonso will be king (Duet 6). The scene changes to the palace of Mauregato, the king who dethroned Froila, where the women are preparing for the hunt. Amidst choral cries 'Zum Jagd', Mauregato's daughter Estrella alone is fearful for her future (7). Mauregato's general Adolfo enters and declares his love to Estrella (8). In the following duet he begs for her hand while she resists (9). The finale begins with the entry of a chorus of Mauregato's soldiers. Adolfo demands Estrella's hand of Mauregato. When asked what she thinks about this, she responds that she finds him terrible and coarse. Mauregato has naïvely promised Adolfo anything he desires and is torn. Ultimately he promises that he may marry Estrella but only if he first recovers the missing chain of Eurich. Adolfo is furious, and Estrella temporarily relieved. The act closes with a tableaux of soldiers and huntswomen combined.

Act II begin with Alfonso and Froila alone. Alfonso asks his father to sing to him his favourite song of 'the cloud maiden', a fairy-tale like number with a prohibitive moral undertone (11). Alfonso, alone, encounters Estrella, lost in the woods in the middle of the hunt and immediately falls in love with her. Alfonso sings an aria to her (13), which elicits a duet in which she asks him to help her find her way (14). She wishes, however, that she could remain with him in the forest (Aria 15). As they part, Alfonso gives to her the chain of Eurich as a keepsake and they swear loyalty to each other (16). The scene changes to a secret meeting place of conspirators who plan to overthrow Mauregato, led by Adolfo who is angered at Estrella's rejection and her father's trickery (17). Back at the palace, Mauregato is worried about Estrella's tardiness (18) but all are relieved when she returns (19). Observing Eurich's chain, he asks her about her forest encounter (20) and she tells all

(21). Suddenly the chief bodyguard enters with news of Adolfo's treachery and the act ends with impending battle (Finale II 22).

Following a stormy *Entre'acte*, Act III begins with Adolfo's temporary victory as observed by a young boy and girl (24). Adolfo catches up with Estrella and chases her (25). As she cries for help, Alfonso improbably rushes in to save her, accompanied by a group of hunters (26). The two renew their vows of love (27). And yet Estrella's father has been captured; Estrella reveals that he is the king of Leon and she is herself a princess. Duly humbled, Alfonso resolves to rescue him (28). Estrella spies the approach of her fathers retreating troops (29). In order to summon help, Alfonso sounds his horn (30); Froila arrives with reinforcements and, charged with the protection of his enemy's daughter, resolves to put aside differences to protect the woman his son loves (31). Mauregato, alone, laments his past follies (32). When Froila approaches him Mauregato believes that he has seen a ghost; but it is a fully corporeal King who forgives him. As the finale begins, Estrella rushes in and is reunited with her father (33), while Alfonso leads Mauregato's troops triumphantly back from battle. Mauregato renounces the throne to Froila and Adolfo is forgiven for his treachery. As Mauregato promises Estrella's hand to the Alfonso, Froila passes on the crown of Leon to his son.

Die Verschworenen (Der Häusliche Krieg) – Ignaz Castelli

This one-act Singspiel is set in a gothic castle at the time of the crusades. The plot is based loosely on Aristophanes *Lysistrata* and concerns a 'sex-strike' carried out by the women of the court, who are tired of the continual absence of their partners. The Overture remains a fragment and was not published in the AGA. To all intents and purposes, this work begins with the opening duet (1) between Udolin and Isella. Suddenly reunited, the manservant of the Count and maidservant of the Countess first express joy at their reunion, then guarded suspicion at each other's faithfulness, and finally promise never to leave each other again. In dialogue, Isella informs Udolin of an imminent secret meeting of all the women, convened by the countess. Udolin persuades Isella to let him come and she sets about dressing him as a woman to attend the meeting.

Alone, Helene (niece of the Countess) wishes for the return of her husband, the knight Astolf. She expresses this sentiment in a short Romanze (2) which is reminiscent of Barbarina's similar number from *Figaro*. The Countess enters and promises that she has a solution to prevent the men from going to war. The women

assemble (3) and the Countess asks if all are present. Udolin and Isella remark quietly that there is one extra person present! The women bemoan the current situation in which their husbands are always absent. In dialogue, the Countess proposes that the women remain cold to their husbands until they promise never to leave again. They swear to do so in a parodic *Verschwörungsschor* (4).

The scene changes to just outside the castle where the men are arriving home after the war (*Marsch und Chor* 5). Udolin arrives and tells them that the wives of all the knights are assembled in the castle and then informs them of the conspiracy (6). The Count proposes that they behave exactly the same and thus ensues a chorus between men and women each remaining cold to the other (7) despite their wishes to break their promises.

The first couple to lose their resolve are Astolf and Helene (8) who sing instead that love overrules promises and oaths. The Count and Countess then meet. The Count claims that he has been to war and fought in battle 'for her' (9). She parodies this aria, replying that he should instead renounce this warlike nature 'for her' (10). He, however, departs.

The Countess believes that she has failed. Udolin enters and tells her a tall tale of an oath sworn by all the knights. He claims that they swore not to show affection to their wives until they armed themselves for battle in order to join their men. The Countess is reluctantly persuaded to do just this and is discovered by the Count and his men ready for battle (11, *Finale*). During the finale the women, also clothed in suits of armour, enter and all are reconciled as the men agree to remain at home.

Fierrabras – Josef Kupelwieser

The action of this opera takes place at the time of the crusades, and involves a conflation of two previously unconnected plots concerning both the chivalric romance of Eginhard and Emma and the tale of the Moorish warrior Fierabras (sic). Contemporary reports cite Calderon's 'La puente de Mantible' (trans. A. W. von Schlegel 1809) as Kupelwieser's primary source, but it has been recently shown that he probably took his material for the Fierabras elements from Busching and Hagen's *Buch der Liebe*.¹

¹ Denny, T 'Wo haben Kupelwieser und Schober ihre Sujets für Schubert gefunden?' *Schubert durch die Brille* (1990) 32-37

Act I takes place at the court of Charlemagne (Karl in the libretto). The first scene opens with a spinning chorus (1) in which the King's daughter Emma laments the deaths of many of their men in battle. Eginhard, a knight of noble birth, enters with news of her father's success in battle and imminent return to the court; the two declare their secret love for each other (2). The scene changes to a great hall in which Karl ascends to the throne surrounded by his knights and to a martial chorus of praise (3). In a large ensemble scene (4), the Moorish prisoners are presented to the king and Roland begs clemency for these warriors. Karl promises that although they may not return to their own camp, they may walk free in his own kingdom. One of these is Fierrabras, the son of the Moorish prince Boland, who appears despondent and surly; Roland narrates this warrior's bravery in battle and, despite learning his lineage, Karl also grants Fierrabras his freedom. Emma and the women of the court present Karl with a victorial wreath which he in turn grants to Roland, the true warrior. In spoken melodrama, Fierrabras recognises Emma as the woman he fell in love with from a distance in Rome; Roland urges him to remain silent. While the knights and Karl sing of their imminent victory, Emma, Eginhard, Roland and Fierrabras sing of their own private concerns. The scene closes with the same march with which it began (3) and Roland and Fierrabras are left alone. In spoken dialogue, Fierrabras tells how he once glimpsed Emma in Rome while he was escorting his sister Florinda. It transpires that Roland had then fallen in love with Florinda, and she with him, and that they believed that they would never again meet. Fierrabras resolves to remain with the Franks and tells Roland that he will doubtless find Florinda again on the forthcoming peace mission. Both then sing a march of mutual encouragement and hope for the future (5). The scene changes to late at night, and an extended Act Finale begins (6). Under cover of darkness, and beneath Emma's window, Eginhard serenades her, singing that soon they must be separated as he goes into battle. From the balcony she joins in, singing of her hope for his return. As Eginhard enters the castle, Fierrabras arrives on stage tormented by his unrequited love for Emma. He then hears a great commotion in the castle. Emma has disappeared from her room and a party of men is searching for her. Fierrabras discovers Eginhard and Emma together but promises to keep their secret for the sake of their (implausible) friendship; Karl arrives with courtiers and mistakenly arrests Fierrabras as an 'abductor'. Eginhard is then called for to escort the wrongly accused Fierrabras to the dungeons. As the Knights sing a further chorus of praise for Karl, the lovers and Fierrabras sing of their secret. Curtain.

Act II opens in the countryside where Karl's knights are advancing over the Spanish border, determined to offer peace and friendship. Eginhard sings a lied to the land they have left behind, accompanied by Roland and a chorus of knights (7). He is left behind brooding on his secret love for Emma and betrayal of Fierrabras. In so doing he is captured by a band of Moors led by the General Brutamonte (8). He sounds his horn, and Roland and the warriors arrive to find him gone. The scene changes to a room in the Moorish castle of Prince Boland. Florinda, Boland's daughter, is confiding to her servant Maragond her hopeless love for Roland. A duet ensues in which she sings of her distant love, and Maragond worries about her mistress's treacherous thoughts (9). Boland arrives with news that a Frankish knight (Eginhard) has been captured. Eginhard enters and confesses his sin against Fierrabras, for which Boland promises to make him and his 'peace mission' pay. A quintet sums up the position (10). Boland allows a procession of Franks and Moors to advance into the castle (11). Boland orders them to disarm if they are truly peaceful and then on hearing that Fierrabras has converted to 'the true faith' vows death to all of them (Trio with Chorus 12). Torn between love and duty, Florinda vows alone to rescue Roland (13). The knights, incarcerated in the prison tower, sing a hymn of praise for home to the theme which opens the overture's slow introduction (14). In spoken dialogue, Eginhard confesses his guilt to Roland and the knights. A melodrama (15) then begins when a noise is heard on the stairway. It is Florinda who, having overpowered the guard, collapses exhausted. Roland sings of the irony that she must arrive just as he is about to die. As she comes to, they sing a love duet, the theme of which is taken from Schubert's earlier opera *Die Freunde von Salamanka*. Encouraged by her presence the Knights sing a chorus, but this rapidly turns into a Melodrama as they realise that Florinda has been betrayed and the Moorish army is assembling. Roland plans to battle his way to freedom and Florinda finds them weapons (16). As the Finale (17) begins, Eginhard, Roland and Florinda sing a trio with chorus wishing each other luck. From the safety of the tower, Florinda narrates Roland's progress in spoken melodrama, but he is captured and the knights sing a dejected chorus which closes the act.

Act III begins in the castle of Karl, where the womenfolk are winding garlands and singing a chorus (18) in which they hope for the imminent return of the men; as before Emma contributes a verse. In spoken dialogue, Emma confesses her guilty secret to her father. A duet (19) between the two begins, which turns into a trio as

Fierrabras enters and a quartet as Eginhard too returns (having made a successful getaway). Karl, angered, tells Eginhard that he can purge his guilt (for the secret affair and betrayal of a friend) by leading an assault on Boland. Fierrabras promises to assist while Emma and Eginhard say their goodbyes (20). The scene changes to the tower of Act II where Florinda sings an aria of resignation (21) accompanied by the knights. A funeral march begins in the distance, against which Florinda and the knights narrate the building of a pyre for the immolation of Roland. Florinda surrenders herself and the knights, ready to die with Roland. The scene changes again to the square outside the tower where Boland is ordering the death of the knights, Roland and his own daughter (22). The arrival of a Frankish army led by Eginhard and Fierrabras averts the execution, and Fierrabras prevents his father Boland from being killed (Finale 23). Boland repents his wicked ways with the perfunctory line 'Durch Wahn und Täuschung war mein Herz gebunden; Sie sind besiegt – den Sohn hab' ich gefunden' ['My heart was bound by folly and delusion; they are overcome – I have found my son'] and grants his blessing to Roland and Florinda. Fierrabras joins the knights and Eginhard joins Emma. All ends happily.

Appendix 2: Schubert's Dream and the Connection with Novalis

Schubert's allegorical tale entitled *Mein Traum* (My Dream) was first published by Schumann in the *Neue Zeitschrift für Musik* in 1839, the title having been added in ink by Schubert's brother Ferdinand to the extant pencil sketch.¹ Schumann did not have much to say about the sketch,² but since then Schubert's 'dream' has received much critical attention from biographers,³ psychoanalysts⁴ and musicologists,⁵ all clamouring to interpret the text in their own rather unique ways. The text of *Mein Traum* is reproduced here in full.⁶

I was the brother of many brothers and sisters. Our father and mother were good people. I was deeply and lovingly devoted to them all. Once my father took us to a feast. There my brothers became very merry. I, however, was sad. Then my father approached me and bade me enjoy the delicious dishes. But I could not, whereupon my father, becoming angry, banished me from his sight. I turned my footsteps and, my heart full of infinite love for those who disdained it, I wandered into far-off regions. For long years I felt torn between the greatest grief and the greatest love. And so the news of my mother's death reached me. I hastened to see her, and my father, mellowed by sorrow, did not hinder my entrance. Then I saw her corpse. Tears flowed from my eyes. I saw her lie there like the old happy past, in which according to the deceased's desire we were to live as she had done herself.

And we followed her body in sorrow, and the coffin sank to earth. From that time on I again remained at home. Then my father once more took me to his favourite garden. He asked whether I liked it. But the garden wholly repelled me, and I dared not say so. Then, reddening, he asked me a second time: did the garden please me? I denied it trembling. At that my father struck me, and I fled. And I turned away a second time, and

¹ Deutsch (1946), 228.

² *Neue Zeitschrift für Musik* 10 (1839), 37 Schumann remarks only that the text is 'open to deeper interpretation'.

³ Walter Dahms was amongst the first to describe it as an 'autobiographical sketch' (*Schubert* (Berlin, 1912), 137), while Kreissle von Hellborn had more cautiously remarked that the interpretation is to be left to the reader (*The Life of Franz Schubert* Trans. Coleridge (London 1869), 16).

⁴ See esp. Solomon, M., 'Franz Schubert's "My Dream"', *American Imago* 38 (1981), 137-154. Solomon's interpretation is discussed later in this paper.

⁵ e.g. Pesic (1999)

⁶ The translation is by Eric Blom as given in Deutsch (1946), 226-228.

with a heart filled with endless love for those who scorned me, I again wandered far away. For many and many a year I sang songs. Whenever I attempted to sing of love, it turned to pain. And again, when I tried to sing of pain, it turned to love.

Thus were love and pain divided in me.

And one day I had news of a gentle maiden who had just died. And a circle formed around her grave in which many youths and old men walked as though in everlasting bliss. They spoke softly so as not to wake the maiden.

Heavenly thoughts seemed for ever to be showered on the youths from the maiden's gravestone, like fine sparks producing a gentle rustling. I too longed sorely to walk there. Only a miracle, however, can lead you to that circle, they said. But I went to the gravestone with slow steps and lowered gaze, filled with devotion and firm belief, and before I was aware of it, I found myself in the circle, which uttered a wondrously lovely sound; and I felt as though eternal bliss were gathered together into a single moment. My father too I saw, reconciled and loving. He took me in his arms and wept. But not as much as I.

A cursory reading of the text reveals the potential for various interpretations. In terms of biography, the reference to an authoritative father, many brothers and sisters, the death of the mother and the role of the protagonist as the solitary Romantic artist, rings true with certain basic facets of Schubert's life. Schubert's half brother, Anton, was among the first to suggest that the two banishments by the father related directly to two literal banishments from the family home.⁷ Maurice Brown, however, points out that Anton was very young when the composer died and suggests that he probably formulated this opinion from having known the document, not the other way round.⁸

There are, however, those who champion the sketch's biographical significance. Walther Dürr writes:

⁷ The statement was allegedly made to the early Schubert biographer Alois Fellner and was accepted as fact in Walter Dahms' Schubert biography. Deutsch (1946), 228.

⁸ Brown, M.J.E., 'Schubert's "Dream"', *Monthly Musical Record* 83 (January 1953), 39-43.

It is hardly conceivable that Schubert describes in his dream (which perhaps relates back to an actual dream) fictive situations which – unintentionally – correspond to his own experiences so precisely as is here the case. . . . The narrative is, of course, not strictly chronological in its relationship with Schubert's life, while the 'dream images' (the 'feast' and 'favourite garden' of the father) need not necessarily have precise and logical correlates in reality. . . . It appears in any case that Schubert compares the expectations of his father first with the 'Feast' and then with his 'favourite garden' in to which the father leads him.⁹

Elizabeth McKay adopts the more sceptical tone of current biographers, suggesting that it is 'unlikely that "Mein Traum" can explain or point to anything of appreciable significance about the composer's psychology.'¹⁰ Maynard Solomon however tries to do exactly this.¹¹ By picking out certain themes of the text he attempts a psychoanalysis of the sketch. One of the central themes of the narrative is the urge to rebel against the father – perhaps in terms of career, marriage or religion¹² – represented by the rejection of the 'delicious dishes' [*die köstlichen Speisen*] and the favourite garden [*Lieblingsgarten*]. Rejecting the choices his father makes for him, the protagonist travels away to enjoy Romantic artistic freedom. According to Solomon 'the imagery derived from oral eroticism, the "feast", "delicious food", and the "garden" all represent the female body, which Schubert's father vainly urges upon him.'¹³ To interpret the sketch as Schubert's rejection of religion is perhaps more complicated as will become clear. Finally, Solomon interprets the reunion with the father as a rather self-limited homecoming; Schubert bows in this sketch to patriarchal

⁹ 'Es ist kaum denkbar, daß Schubert in seinem 'Traum' (der vielleicht auf einen wirklichen Traum zurückgeht) fiktive Situationen beschreibt, die - absichtslos - seinen eigenen Erlebnissen und Erfahrungen so präzise entsprechen, wie hier der Fall ist. . . . Die Erzählung ist natürlich nicht streng chronologisch auf Schuberts Leben zu übertragen, auch haben die 'Traumbilder' (das 'Lustgelage' und der 'Lieblingsgarten' des Vaters) nicht notwendig präzise und logische Entsprechungen in der Realität. . . . Es scheint jedenfalls, daß Schubert die Erwartungen des Vaters zunächst mit einem 'Lustgelage', dann mit diesen 'Lieblingsgarten' vergleicht, in den ihn der Vater geführt habe. . . ' Dürr, W., 'Schubert in Seiner Welt' in Dürr & Krause (eds.), *Schubert Handbuch* (Kassel 1997), 6-7.

¹⁰ McKay (1996), 129.

¹¹ Solomon (1981)

¹² Ibid. 140.

¹³ Ibid. 144.

authority, although he never did so in life.¹⁴ While many features of Solomon's analysis ring true, I believe that he has misread the nature of the ending for reasons which will also become clear.

In a recent paper in *Nineteenth-Century Music*, Peter Pesic has suggested that the double-banishment and return figure, so structurally central to the tale, can be construed in terms of musical form and he shows how this can be mapped onto the structure of the first movement of the late B \flat sonata.¹⁵ He also suggests that it is the mixture of pleasure and pain that Schubert describes in the text which gives much of his music its distinctive quality,¹⁶ and notes the transfigured homecoming which is also typical of Schubert's music, and of this sonata in particular. Pesic sees in the ending the possible troping of two musical quotations from *Adeste Fidelis* and the encounter with the *böse Geist* from the *Szene aus Faust* D.126. 'If so, Schubert links two familiar Latin songs, transforming the prayer for deliverance at the Last Judgement ("What shall I, a wretch then say? What patron shall I call on?") into the adoration of the new-born Child.'¹⁷

In this paper Pesic has taken the extreme case of making *Mein Traum* specifically relevant to musical form. While I believe that there *are* musical consequences for the sketch, Pesic has perhaps only told half the story. His paper does not address for example the role which literal music plays within the narrative of the tale. I believe it is important to ground an interpretation of such features as the double-return and the transfigured homecoming in the Romantic literary tradition to which they belong, before making hermeneutic claims either for the text or for Schubert's music. It is this Romantic literary background which I intend to present in this appendix.

In assessing the significance of *Mein Traum*, Otto Erich Deutsch describes it as 'an embodiment of ideas in the style of Novalis.'¹⁸ The Romantic poet Novalis, or Friedrich von Hardenberg (1772 - 1801) to give him his real name, belonged to the early Jena circle of Romantics including Tieck, Wackenroder, Friedrich and August Schlegel and Schelling. Despite his brief activity and his comparatively limited

¹⁴ Ibid. 145. Solomon writes: 'This Biedermeier emigrant has given no thought to the founding of a new kingdom; rather, unable to endure permanent estrangement, he has awaited a signal for his return.'

¹⁵ Pesic (1999), 136-44.

¹⁶ Ibid. 138.

¹⁷ Ibid. 141.

¹⁸ Deutsch (trans Blom) (1946), 228.

output, Novalis was very important for the Romantic endeavour and is associated with one of the most important images of Romanticism, the 'blue flower' [*'die blaue Blume'*]. Schubert had also set a handful of Novalis' poems from the *Geistliche Lieder* and the *Hymnen an die Nacht* in the years leading up to 1822 when he sketched *Mein Traum*.

In a more recent paper Ilija Dürhammer has taken this cue and discussed the sketch within the context of Schubert's literary aesthetics.¹⁹ In particular Dürhammer suggests a direct correlation between *Mein Traum* and the allegorical fairy tale or *Kunstmärchen* of *Hyazinth und Rosenblüte* from Novalis's uncompleted Romantic novel *Die Lehrlinge zu Sais*.²⁰ In this tale the boy Hyazinth lives in a state of happy bliss and is in love with the maiden Rosenblüte until he realises the limitations of his own perceptions of the world. He suddenly meets an old man who gives him a 'little book which no man can read' [*'ein Bündelchen . . . das kein Mensch lesen konnte'*].²¹ This sends him into a period of contemplative isolation but despite this he never entirely leaves home and is thus left in a state of limbo, in which he thinks back to his older self and the happy existence he has led, but cannot recapture this happiness. There then follows another apparently unmotivated event whereby he meets an old woman who throws the book into the fire and tells him to go in search of the mother of all things, the veiled virgin [*'die Mutter der Dinge . . . die verschleyerte Jungfrau'*]. This time Hyazinth really does leave home and wanders far and wide leaving behind tearful parents. He travels through different increasingly bleaker landscapes until he is able to converse with flowers and streams and upon arriving at his destination sinks into a deep sleep, 'because only in dream can he be led to the holy realm' [*'weil ihn nur der Traum in das Allerheiligste führen durfte'*]. Here he is confronted by the veiled Virgin (Isis) and upon lifting the veil he sees the form of Rosenblüte and she sinks into his arms while a distant music surrounds them. Consequently the two of them live together in a happy higher union.

Dürhammer points out certain similarities in the two tales which may already be apparent. Both tales concern the path to self knowledge in distant lands, a quest which the parents/father do not understand. Both also concern siblings who are happy while the central character isolates himself; Schubert writes: 'There my brothers

¹⁹ Dürhammer, I., 'Zu Schuberts Literatūraesthetik', *Schubert durch die Brille* 14 (1995), 5-99.

²⁰ Ibid. see esp. 20-22.

²¹ All translations are my own unless otherwise specified.

became very merry. I however was sad. . . ' ²² [*'Da wurden die Brüder sehr fröhlich. Ich aber war traurig. . .*], while Novalis writes 'He. . . sat alone while the others played and were merry' [*'Er . . . setzte sich einsam, wenn die Andern spielten und fröhlich waren . . .*'] Both texts contain references to a mysterious sleeping virgin [*Jungfrau*] who lies at the end of this path. The passages are also stylistically similar in that they are constructed in short simple sentences.

I would contend that there are other similarities both with this tale and, more importantly, with Novalis in general, both in terms of structure and in terms of the images used. There are three basic texts by Novalis which support this argument. The first two are his incomplete novels *Heinrich von Ofterdingen* and *Die Lehrlinge zu Sais* (from which the above fairy tale is taken). The third text is the *Hymnen an die Nacht* of which Schubert set part of the fourth as his D. 687; these are poems suffused with mysticised Christian imagery typical of high Romanticism. ²³

The novel *Heinrich von Ofterdingen* traces the journey of the young would-be poet who seeks a similar kind of self-knowledge and poetic truth in a physical journey during which he is told three fairy tales. The first tells of the traveller Arion who, upon being robbed whilst making a sea journey, commands with his music all the powers of nature to save him and his treasure. The second tells of the realm of Atlantis in which its Princess (who represents pure art) leaves her court and secretly weds a young boy from the nearby woods (who represents pure nature) and thus forms a union which leads the kingdom to a higher synthesis upon which it disappears into the sea. The final tale is an allegorical fairy tale narrated by the poet Klingsohr who becomes a kind of mentor to Heinrich. The narrative is more complex than the other two and has presented a great challenge to its critics. Bruce Haywood suggests that this is because of the multiple symbolic functions of the characters of the narrative:

What their real significance is can be deduced only from the sphere of reference in which they move – the “Märchen” itself. In that there is no fixed system of symbols this tale is not pure allegory. It is rather a

²² Trans Blom in Deutsch (1946), 227.

²³ These texts may be found in Novalis, *Werke in einem Band* ed. Verlag (Munich, 1981)

symbolic – and often humorous – action which hints at hidden meaning without presenting this meaning in consistently developed metaphor.²⁴

Oversimplified, the tale concerns characters which symbolise love, poetry, wisdom, imagination, blind rationalism and peace. The narrative plays out the interaction of the characters as they explore different pairings before leading to their final utopian configuration. These types of Romantic symbols are typical of later Novalis while the works of his youth are more prone to exploit such Classical symbols as Apollo, Flora, Zephyr and so on. In *Mein Traum* too, Schubert has avoided such Classical imagery in favour of more enigmatic symbols, many with their origins in Novalis.

In view of the strong biographical slant of certain interpretations of *Mein Traum*, it may be appropriate to address this aspect of both Schubert's and Novalis' works. Novalis too was guilty of exploiting biographical details in his literary works. In particular he takes the character of his deceased beloved, Sophie von Kühn, as the inspiration for the *Hymnen an die Nacht*. It is at *her* grave that he begins to explore a higher understanding of the world and this has been the subject of much critical attention to Novalis. The figure of Sophie is, however, only a point of departure for Novalis' poetry. She becomes deliberately confused with the holy virgin, then with Christ, and finally with God himself. Thus Novalis has taken a personal aspect of his life and lent to it universal significance. It would be misguided to read too much biographical significance into his writings as 'he frequently places himself in imagined situations for the purpose of his theme, as is well illustrated by poems on the death of his father and to his dying sister, written when both were in good health.'²⁵

I believe that in placing his father so centrally in *Mein Traum*, Schubert may well have had in his mind the image of his own father, but probably ascribed to him more universal significance. In Novalis there are many examples of fathers and families who do not understand the Romantic quest of the central character. The father of Heinrich von Ofterdingen is a case in point. He tells his son that 'dreams are idle fancies, no matter what your so-called learned gentlemen think of them, and you would be well advised to turn your mind away from such useless and harmful reflections.' ['Träume sind Schäume, mögen auch die hochgelahrten Herren davon

²⁴ Haywood (1959), 113.

²⁵ Ibid. 18.

denken, was sie wollen, und du thust wohl, wenn du dein Gemüt von dergleichen unnützen und schädlichen Betrachtungen abwendest.']²⁶ Although dreams do not have consistent meaning for Novalis, we repeatedly see examples of dreams which lead characters like Hyazinth towards the holy realm. As Haywood puts it 'the dream image symbolises the rich, full life of the eternal Golden Age, whether in direct experience of it or as anticipatory enjoyment.'²⁷ Furthermore as G.H. Schubert asserts in his *Symbolik des Traumes*, the Romantic symbol appeals to the same type of disconnected mental process as the dream.²⁸ The quotation from *Heinrich von Ofterdingen* is particularly thought-provoking when we consider the title that Ferdinand gave to his brother's sketch. Hyazinth's parents are equally opposed to his quest for knowledge; they simply lament his departure and shed tears. The King of Atlantis is also reluctant to allow the purity of the princess to be compromised by a man. 'With all his mildness the king had almost involuntarily assumed an air of grandeur which made it impossible or intolerable for him to even think of marrying his daughter to a man of inferior rank or obscure lineage.' ['Der König war bey aller Milde beynah unwillkührlich in ein Gefühl der Erhabenheit gerathen, was ihm jeden Gedanken an die Verbindung seiner Tochter mit einem Manne von niedrigem Stande und dunkelerer Herkunft unmöglich oder unerträglich machte.']²⁹

The figure of the rationalist in Novalis is not always a father however. In Klingsohr's tale of Eros and Fabel this force is embodied in the figure of the scribe [*der Schreiber*], whose figure dominates the earthly household in the absence of Eros, Fabel and Ginnistan – love, poetry and imagination. The scribe's anger, however, more explicitly arises from a lack of poetic understanding. When confronted with an iron rod he realises its scientific significance as a magnet, while Ginnistan is able to turn it into a snake. He realises his own lack of imagination and while he is angered when this is revealed, he remains doggedly rational. Similarly Heinrich's father dreams of the blue flower long before Heinrich does so himself, but fails to acknowledge its significance. Thus whilst Novalis's characters stand metonymically for certain human traits, they also contain the potential for their opposite which makes interpretation richer and more complex.

²⁶ Novalis (1981), 243. Trans. Haywood (1959), 94.

²⁷ Haywood (1959), 150.

²⁸ see Dieckmann, L., 'Friedrich Schlegel and Romantic Concepts of the Symbol', *German Review* 34, 276-283.

²⁹ Novalis (1981), 261. Trans. Hilty (1964), 38.

Although I have merely discussed characters opposed to the spirit of Romanticism, poetry and the dreamlike fantasies of the night, Novalis' writings are rife with examples of characters who are metaphors for other things, Klingsohr's tale being a particularly extreme case of this. If Schubert is really adopting the style of Novalis, the father of *Mein Traum* may well be considered to be another such character. Schubert's own father may, like Novalis' Sophie, be a mere point of departure.

The peculiarity of certain images in Schubert's *Dream* is also striking but several of them can be seen to have precedents in other works of Novalis. The grave in particular is the location of a mystical moment in the third of Novalis' *Hymnen an die Nacht*. Like Schubert's grave showering 'fine sparks' on the surrounding youths before his tearful reunion with the father, the grave of Novalis' Sophie becomes a cloud of dust through which he sees the transfigured features of his beloved and cries tears which form with her an unbreakable bond. 'The mound became a cloud of dust - through the cloud I saw the transfigured features of my beloved. In her eyes lay eternity - I grasped her hands and the tears became a sparkling, unbreakable bond.' [*'Zur Staubwolke wurde der Hügel - durch die Wolke sah ich die verklärten Züge der Geliebten. In Ihren Augen ruhte die Ewigkeit - ich faßte ihre Hände, und die Thränen wurden ein funkelndes, unzerreißliches Band.'*]³⁰

In the *Hymnen* the grave is construed as an intermediate step on the path to the truth of the night. It is not the poet's death, but rather Sophie's (or that of the holy Virgin, the veiled virgin or Christ) that is the source of this revelation. A similar metaphorical death occurs in the tale of Atlantis. Gordon Birrel points out a similar 'going to ground' when the Princess and the youth retire to a cave to consummate their union and hide for an unspecified length of time, before rising again to lead in the new age.³¹

The disappearance to the cave is similar to the burial of Christ, depicted in the fifth hymn 'The stone is raised - Mankind is arisen - We all remain yours, and feel no bonds.' [*'Gehoben ist der Stein - Die Menschheit ist erstanden - Wir alle bleiben dein, Und fühlen keine Banden.'*]³² The stone, according to Novalis, is one that 'no power may raise' [*'den keine Macht erhebt'*].³³ The impossibility of the raising of

³⁰ Novalis (1981), 55.

³¹ Birrel (1979), 23.

³² Novalis (1981), 171.

³³ Ibid. 169.

this stone is similar to the impossibility of the lifting of the veil in *Die Lehrlinge zu Sais*; 'and if no mortal . . . may raise the veil, then we must seek to become immortals' [*und wenn kein Sterblicher . . . den Schleier hebt, so müssen wir Unsterbliche zu werden suchen*'].³⁴ Thus for Novalis the grave of the sleeping maiden becomes the grave of Christ or the cave whose stone may not be lifted by any mortal power, similar to the veil that no mortal may lift which covers the face of the sleeping virgin at the end of the path for the apprentices self-knowledge. However, the stone is lifted and man is set free; the veil is lifted and Hyazinth sees his beloved; the bonds of death are broken and Sophie rises transfigured and triumphant. In *Mein Traum* the grave contains the sleeping virgin who is enclosed in a circle into which no man may cross. And yet, like Hyazinth and the apprentice and the singer of the *Hymns* to Sophie and for mankind, Schubert's musician *does* pass into this realm.

It may even be possible to understand the father of the tale as being more than a purely literal one. The resolution of the *Hymen* has a similar conclusion to that of Schubert's dream. Novalis writes: 'A dream breaks forth our bonds, and sinks us into the lap of the father.' [*Ein Traum bricht unsre Banden los/ und senkt uns in den Vaters Schoß.*']³⁵ Thus the virgin, the grave, the cloud of dust, the forbiddenness of the realm, the bonds of tears and even the reunion with the father – that is to say all the central images of *Mein Traum*'s transfigurational conclusion – *all have precedents in Novalis*. As we have seen in Klingsohr's tale it is quite possible for characters to act simultaneously as metaphors for conflicting forces. Thus it need not surprise us that the father has more than one role in the dream.

As I suggested earlier, the image of literal music is of particular importance for both Schubert and Novalis. Durhammer points out that one of the problems with the *Hyazinth* analogy is that the tale concludes with *visual* images while Schubert's dream ends with *sonic* ones. This is a very good cue to look elsewhere in Novalis' output for influences, as there are many examples of protagonists who are more explicitly poets and musicians than those presented in Hyazinth's tale. Music *does* play similar roles in Novalis. For Schubert it represents means and end on the way to a mystical higher consciousness. It is the synthesising force which reconciles love and pain, and it is the beautiful sound which is heard when he crosses over the grave. In Novalis it is music which the poet Arion uses to save the situation when he is

³⁴ Ibid. 204. Trans. Haywood (1959), 38.

³⁵ Novalis (1981), 177.

attacked mid-ocean by the boatmen. It also represents an extreme 'at-one-ness' with nature through the harmony which is implied: 'The whole ship rang with it and the waves resounded, the sun and the constellations appeared in the sky, and out of the green waters emerged dancing hosts of fish and sea monsters.' [*'Das ganze Schiff tönte mit, die Wellen klangen, die Sonne und die Gestirne erschienen zugleich am Himmel, und aus den grünen Fluten tauchten tanzende Schaaren von Fischen und Meerungeheuern hervor.'*]³⁶ A similar analogy between music and natural harmony is found in Klingsohr's tale as the king rearranges mysterious cards and the constellations in the sky similarly rearrange themselves while a beautiful music sounds. The tale of Atlantis, on the other hand, concludes with the youth singing a song which tells of past, present and future. It is this song which breaks the king's resolve and allows the young couple to be accepted and the new world to be ushered in. Numerous other cases of music in Novalis present it both as a synthesising force and as a metaphor for the order underlying nature's apparent chaos.

Music is, however, capable of representing both order and chaos. To give a specific example Novalis writes of post-reformation atheist philosophy in terms of negative musical metaphors: '... hatred of religion ... transformed the infinite, creative music of the universe into the uniform clattering of a monstrous mill, a mill driven by and floating upon the stream of chance, a self-sufficient mill without architect or miller and in fact a true *perpetuum mobile*, a mill that is crushing itself.'³⁷ However this is not an example of the chaos of life, rather of a mechanical soulless grinding similar to that of Wackenroder's wheel of time, turned single-mindedly on and on by the saint of his tale *Ein wunderbares morgenländisches Märchen von einem nacktem Heiligen*.³⁸ The chaotic is, for Novalis, the essence of nature and of the fairy-tale which imitates it. 'In a true *Märchen* everything must be wonderful - mysterious and disconnected [*unzusammenhangend*] ... The time of complete anarchy - lawlessness - freedom - the natural state of nature.'³⁹ This chaos is also made explicitly musical by Novalis: 'A *Märchen* is ... an ensemble of wonderful

³⁶ Novalis (1981), 258. Trans. Hilty (1959), 34.

³⁷ Trans Haywood (1959), 13-14. 'der Religionhass ... machte die unendliche schöpferische Musik des Weltalls zum einförmigen Klappern einer ungeheuren Mühle, die vom Strom des Zufalls getrieben und auf ihm schwimmend, eine Mühle an sich, ohne Baumeister und Müller und eigentlich ein echtes *Perpetuum mobile*, eine sich selbst mahlende Mühle sei.'

³⁸ See Birrel (1979), 136.

³⁹ Translated from Birrel (1979), 118.

things and occurrences - e.g. a *musical fantasy* - the harmonic progressions of an Aeolian harp - nature itself.'⁴⁰

Of course we see in *Mein Traum* a series of mysterious disconnected images evoked in a spatial and temporal language which is characteristic of the *Kunstmärchen* as will be discussed shortly. By doing this, Schubert has written music into the tale in a third way, *by producing writing which aspires to the condition of music*. This idea is a common one for early Romantics and has been discussed at length by Dahlhaus. It arises of course from the paradigm shift between Kant and the Romantics: 'The "indeterminacy" of instrumental music was no longer perceived as "empty", but rather as "sublime".'⁴¹ Thus music becomes the aesthetic ideal to which the *Kunstmärchen* aspires.

This interpretation is given a further twist when Novalis discusses his idea of reality's relation to world spirit. 'The world is a universal trope of spirit, a symbolic image of it.' [*Die Welt ist ein Universal-tropus des Geistes, ein symbolisches Bild desselben.*']⁴² Man too is 'a perfect trope of the spirit' [*Ein vollkommener Trope des Geistes*']⁴³ an idea which is summed up most succinctly in Novalis' equation 'Man: Metaphor' [*Der Mensch: Metapher*].⁴⁴ Music does not simply act as a metaphor for human activity; rather this expressive reversal allows man to be viewed as a metaphor for the truth of music and world spirit.

History for Novalis also had this metaphorical relationship to world spirit. The essay *Die Christenheit oder Europa* provides an explicit account of history as moving from a golden age which represents the original union man once held with nature, through a period of estrangement brought about by the spirit of rationalism and the lack of a true religion, towards a new golden age in which man and nature can be reunited through art.⁴⁵ This golden age is considered to be a state of youthful naïveté encapsulated in the *Athenäum* fragment: 'Where there are children, there is a golden age' [*Wo Kinder sind, da ist ein goldenes Zeitalter*].⁴⁶

This triadic progression is a common feature of Novalis' narratives. A central aspect of Schubert's dream is the youthful beginning followed by a transfigured return

⁴⁰ Ibid.

⁴¹ Dahlhaus, C., *The Idea of Absolute Music* (Chicago, 1989), 51.

⁴² Cit. and trans. Haywood (1959), 9.

⁴³ Ibid. 9.

⁴⁴ Ibid. 9.

⁴⁵ Novalis (1981), 526-544.

⁴⁶ Ibid. 471.

home. Heinrich von Ofterdingen realises the potential for a similar homecoming. On setting off on his physical and spiritual journey he looks back towards his home town and sees for the first time the blue flower, the symbol of his quest revealed to him in a dream, and realises that he will also return home. The end of Hyazinth's quest is the revelation of Rosenblüte and the return home in dream, while the apprentice of the novel says 'Everything leads me back to my inner self' [*Mich führt alles in mich selbst zurück*].⁴⁷ The princess of Atlantis also returns home but transformed by her experience of nature and bearing a child as a symbol of this new union.

The first Hymn to the night presents an example of the historical significance of this narrative and allows the original state of man and nature to be viewed as something which is left reluctantly. The three stanzas of this Hymn present these three stages of this progression and the light of rationalism is initially praised before it is rejected for the holy mysterious night in which the singer finds solace. At various stages there is a certain ambivalence to rejecting this original golden age, but the new path for the world is an inevitable goal. 'To light was allotted its span of time, but night's dominion knows neither time nor space.' [*Zugemessen ward dem Lichte seine Zeit; aber zeitlos und raumlos ist der Nacht Herrschaft.*']⁴⁸

These particular precedents in Novalis allow the youthful bliss of Schubert's dream to be interpreted as a golden age but as one that is inherently unstable. More importantly it allows us to understand the homecoming as more than Maynard Solomon's self-limiting bowing to Patriarchal authority. As Bruce Haywood explains it, the motion is not so much a circle as a spiral; Heinrich, Hyazinth, the apprentice and the princess do not simply return home, they return to where they began but with a higher understanding.

The structural feature which Pesic interprets as musical is that of the double-banishment and double-return home. Although Durhammer does not comment on this explicitly – he writes only that there are formal similarities⁴⁹ – there are in Hyazinth's tale *two* departures and *two* homecomings. Hyazinth is first given the book which no man can read, but the period of isolation which this initiates is inconclusive. To interpret this in the spirit of Novalis, the book represents the failed ambitions of scientific endeavour as a means of understanding the world. But after returning home

⁴⁷ Trans. Haywood (1959), 34.

⁴⁸ Novalis (1981), 153. Trans. Haywood (1959), 58.

⁴⁹ Durhammer (1995), 21.

he is then confronted with another unprovoked event, the woman throwing this book into the fire and telling him to go in search of the veiled virgin. This time the journey is much more distancing, while the homecoming is more mystical.

This double-return feature in *Mein Traum* can be seen in two ways. In relation to *Hyazinth* it shows how the initial period of isolation fails because it is based on a rationalist premise, while the second one succeeds because it involves an inner quest of feeling. (Hyazinth too realises that everything leads back to his inner self.) In Schubert's dream the second journey also succeeds because of its basis in feeling, reconciling conflicting emotions through music; the first stage fails because it is a mere physical journey.

At the centre of Schubert's double cycle is a backwards glance towards home. 'I saw her lie there like the old happy past, in which according to the deceased's desire we were to live as she had done herself.'⁵⁰ This can be seen to have many origins in Novalis too. The first of the *Hymnen* contains in the second stanza the move away from light, but a longing glance back towards it: 'In other realms light pitched its gay pavilions' [*In andern Räumen schlug die lustigen Gezelte das Licht auf*].⁵¹ Similarly to Schubert, Novalis associates this glance towards home explicitly with Heinrich's mother. 'Having his mother at hand comforted Henry greatly. His former world seemed to him not altogether lost, and he embraced it with redoubled affection.' [*Die Nähe seiner Mutter tröstete den Jüngling sehr. Die alte Welt schien noch nicht ganz verlohren, und er umfaßte sie mit verdoppelter Innigkeit.*]⁵² And yet the estrangement is always present. Hyazinth too tries to think back to the old times but greater thoughts bar his way.⁵³

As I alluded to earlier, the connections between *Mein Traum* and Novalis' writings can be more general. Gordon Birrel has demonstrated that the Romantic fairy tale is often given its distinctive quality by innovative use of spatial and temporal boundaries.⁵⁴ The dream and the Hyazinth tale both describe journeys as only leading to far off lands: 'in ferne Gegend' in Schubert's case and 'geheimnißvolle Lande' in that of Novalis. Time, on the other hand, is consistently

⁵⁰ Deutsch (1946), 227.

⁵¹ Trans. Haywood (1959), 55.

⁵² Novalis (1981), 250. Trans. Hilty (1964), 26.

⁵³ 'wenn ich an die alten Zeiten zurück denken will, so kommen gleich mächtigere Gedanken dazwischen.' Novalis (1981), 216.

⁵⁴ Birrel (1979).

evoked by words like 'Einst', 'Dann' and 'Nun,' words which describe only the suddenness of events within this scheme, while the length of the actual journeys is left explicitly unmeasured: Schubert's poet travels for long years 'Jahre lang' while Hyazinth's journey too puts many years behind him ['*viele Jahre hinter ihm*'].

This by itself simply places Schubert's tale in the context of the *Kunstmärchen* as it is Birrel's thesis that this kind of evocation of space and time typifies the entire genre. What is of more importance is the imaginative use of spatial and temporal language with a significance which is more fully comprehensible with reference to Novalis. The moment of transcendence in Schubert also evokes such imaginative delineation of space and time. The whole of the new world which the poet discovers lies within the restricted circle surrounding the virgin's grave. Lawrence Frye notes a similar Romantic paradox in Novalis' conception of the grave. 'Every step which brings him closer to final release is initially a step into greater restriction and a more tightly structured area.'⁵⁵ In terms of time however, Schubert writes 'I felt as though eternal bliss were gathered together into a single moment.' ['... *ich fühlte die ewige Seligkeit wie in einen Augenblick zusammengedrängt.*'] This is remarkably reminiscent of the moment at the grave in the third *Hymn* in which 'thousands of years disappeared into the distance' ['*Jahrtausende zogen abwärts in die Ferne*'].⁵⁶ Both descriptions of the transcendent moment at the grave evoke the dissolution of time. Hyazinth's unveiling of the virgin too can only occur in dream, the realm of the night which Novalis describes in the second *Hymn* to the Night as 'timeless and spaceless'.⁵⁷ This absence of time or space is similar to Schelling's description of intuition of 'the absolute'. For Schelling, to achieve a permanent union with the absolute would be to 'go out of time into eternity'.⁵⁸ Novalis and Schelling belonged to the same circle of Romantics centred around Jena, and Novalis's consistent description in the *Hymns*, in *Hyazinth* and in other cases of a mystical moment as being without time resonates strongly with that of Schelling. This timelessness is explicitly associated with music in the tale of *Arion*. As the earlier quotation shows, music makes the sun and the stars appear in the sky at once, an astronomical description of the impossibility of the moment in real time.

⁵⁵ Frye, L. O., "Spatial Imagery in Novalis' 'Hymnen an die Nacht'", *Deutsche Vierteljahrsschrift* 41 (1967), 572.

⁵⁶ Novalis (1981), 155.

⁵⁷ 'Zeitlos und raumlos ist der Nacht Herrschaft.' Novalis (1981), 153.

⁵⁸ White, A., *Schelling: An Introduction to the System of Freedom* (Yale, 1983), 31.

To review briefly the main correlations with Novalis, Schubert's narrative, like Novalis' triadic scheme, traces the path from home, through estrangement, back to a transfigured home. Like Novalis this involves a backward glance at a pivotal moment to show the longing for the earlier golden age – here a maternal longing – and the impossibility of its return. In a similar way to certain cases in Novalis, Schubert takes the character of the father to represent the spirit of rationalism opposed to the poet's quest, while the sleeping virgin of the Hymns, of Hyazinth and of the Apprentices becomes the goal of that quest. The figure of music is used to represent both the synthesis of feeling and the order which is revealed in the world, but in a greater sense the tales aspire to the ordered chaotic condition of music. The grave too is an important symbol for Novalis which Schubert uses as the location for similar mystical transformations. In Novalis and Schubert, space and time are evoked in ways which allow the tale to be construed as allegory (in that the time and space evoked is non-specific) and the moment of transcendence to be fully understood as one which lies outside this world, not simply back home.

Part of my explorations of this heritage in Novalis have led me to assess the significance of this sketch for Schubert's music. This would in itself form a rather large topic so for the moment I will limit myself to a few observations suggestive for hermeneutic analysis of his music.

Firstly, the seemingly arbitrary placement of shock events in the tale which later become understood in a more holistic sense could prove useful for the interpretation of similar outbursts in Schubert's music. Hugh MacDonald has referred to such moments as the C# minor outburst in the late A major sonata second movement as gestures of 'volcanic temper'.⁵⁹ Macdonald himself suggests that these moments could be understood in terms of a relationship to Romantic literature.⁶⁰

Secondly, the transfigured homecoming of the tale can help us to understand corresponding moments in Schubert's music as Romantic transcendent outcomes. Robert Hatten, for example, has used this kind of interpretative approach in his study of Beethoven's instrumental music, describing works in terms of overarching expressive genres.⁶¹ Viewed in the light of this tale, the 'homecomings' of the same movement in the A major sonata, and of the first movement of the late B \flat sonata

⁵⁹ MacDonald, H., 'Schubert's Volcanic Temper', *The Musical Times* 119 (1978), 949-52.

⁶⁰ *Ibid.* 951.

⁶¹ see esp. Hatten, R., (1994).

acquire new meanings. In the former movement the unsettling C# outburst becomes a distant echo in the recapitulation. In the latter movement the opening material of the exposition, expansive, lyrical and juxtaposed with the intrusive G₁ trill, becomes the closing material of the recapitulation, cadencing in on itself, limiting itself to shorter phrases, and with the problematic trill simply emphasising the perfect cadence. While home is initially a point of departure with a disturbing problem to spur on the journey, it becomes reinterpreted as a point of transfigured return, with the problematic element now fully assimilated.

Thirdly, in both *Märchen* and music, time and space become not only containers for events, but thematic elements. Thus moments in which the flow of time is disrupted or dissolved attain a peculiarly Romantic significance. Charles Rosen has interpreted Gretchen's spinning wheel figure as a representation of her consciousness of the wheel's motion.⁶² The moment in the song where she recalls Faust's kiss involves a disruption of the flow of time, a moment lying outside time. (By contrast the turning of the wheel reminds one of Novalis' *perpetuum mobile*, endlessly unfolding time for its own sake and crushing in on itself.) Schubert's understanding of the meaning of the dissolution of time allows the moment to be understood as an intimation of her death, or as a moment of higher consciousness – perhaps of intuiting God or 'the Absolute'. (Schelling for example describes the intuition of the absolute as a moment in which conscious thought ceases.⁶³) Schubert's Romantic understanding of temporal and spatial factors as revealed through *Mein Traum* could equally prove useful in interpreting hermeneutically moments in which he musically 'warps' time for some expressive end.

Finally, it may be possible to understand certain gestures in late Schubert, particularly those in *Schwanengesang*, as having Romantic symbolic content. Joseph Kerman suggests as much when he describes the introductions to *Ihr Bild*, *Am Meer* and *Die Stadt* in terms of unconsummated symbols.⁶⁴ Rather than placing into the music images which evoke precise correlations, the spinning wheel of *Gretchen*, the riding horse of *Erlkönig* or the miller's brook, these gestures acquire their own meanings rather in the same way that Novalis takes conventional material and gives it the status of the Romantic symbol.

⁶² Rosen, C., 'Schubert's inflections of Classical form', in Gibbs (ed.), *The Cambridge Companion to Schubert* (Cambridge, 1997), 73.

⁶³ White, A (1983), 69

⁶⁴ Kerman (1986), 52-53.

The significance of this sketch is threefold. In the first place it demonstrates an awareness on Schubert's part of the writings of early Romanticism, an awareness which will have arisen from his own reading, not from the more conservative syllabus of his education at the *Stadtkonvikt*.⁶⁵ In the second place it shows that he engaged critically with Novalis' ideas through the way in which he appropriates Novalis's material and uses the techniques and ideas to his own ends. In the third place it presents a Romantic ideological background in which to ground hermeneutic interpretation of his works perhaps in the manner of Pesic, perhaps also in the ways outlined above. As for why Schubert wrote this sketch, Novalis provides a possible answer in the following critical fragment also published in the first volume of the *Athenäum*: 'I cannot show that I have understood a writer until I am able to act in his spirit, until, without diminishing his individuality, I am able to translate, vary and change him.'⁶⁶ Through adopting Novalis' form, style and imagery and integrating his own biography and aesthetic understanding of music, I believe this is *exactly* what Schubert has tried to do.

⁶⁵ David Gramit in particular discusses the rather conservative education Schubert would have received at the city seminary. He takes as a case study the textbook prescribed by the censor for use in schools, the *Institutio ad eloquentiam*, which appeals constantly to Gottsched, Klopstock and Lessing, but less to Goethe and never to 'Romantic' poets. [Gramit (1987) see esp. 27-29.]

⁶⁶ From *Vermischte Bemerkungen* (1797) Translation from Wheeler (1984), 88. 'Nur dann zeig ich, daß ich einen Schriftsteller verstanden habe, wenn ich in seinem Geiste handeln kann, wenn ich ihn, ohne seine Individualitaet zu schmälern, übersetzen, und mannichfach verändern kann.' [Novalis (1981), 436.]

Appendix 3

Scores and Piano Reductions

Appendix 3.1: D.780/6 - Allegretto

288

$\text{♩} = 140$

1

p

8

p *f* *p*

16

pp *p*

23

pp *mf*

30

3

fp *pp*

36

3

fp *fp* *pp*

43

cresc. *f*

50

p *pp*

58



65



71



3.2 Das Echo D.990C

Castelli

Voice

Piano

mf *pp* *mf*

5

Voice

Pno

pp *p*

Herz - lie - be gu - te Mut - ter, o

10

Voice

Pno

grol - le nicht mit mir, du sahst den Haus mich kus sen, docu

14

Voice

Pno

ich kann nichts da - fur. Ich will dir Al - les sa - gen docu

18

Voice

Pno

p *pp*

ha - be nur Ge - duld das E - cho drauss' an Hu - gel beim

22

Voice

Bu - gel, das ist an Al - lem Schuld, das

Pno

mf

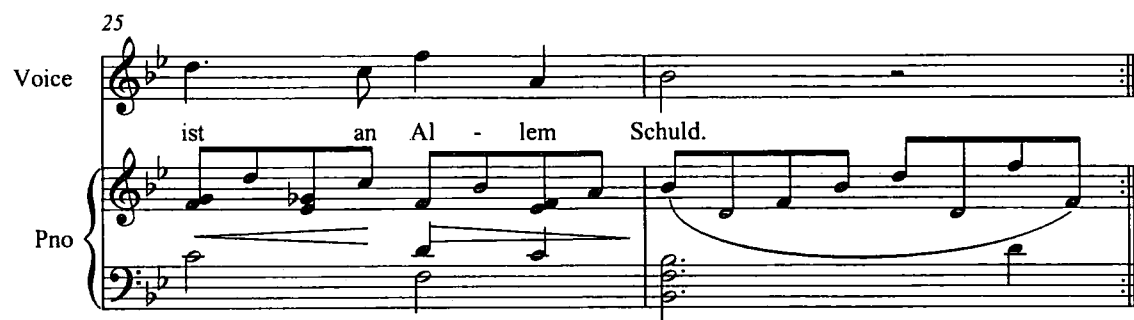


25

Voice

ist an Al - lem Schuld.

Pno



3.3 Mag es stürmen

292

Hoffmann

Allegro con fuoco

Franz

6

Mag es stür - men,

9

don - nern, bli - tzen, öff - nen mag die See den Schlund

13

Auf der Was - ser ber - ge

sf *p* *cresc.*

16

Spi - tzen und des Mee - res tief - stem Grund zeigt der

cresc

19

Schif - fer ho - hen Muth tro - tzend der er - zürn - ten

f

22

Fluth, der er - zürn - ten Fluth; in des

p *cresc.*

26

Meer - es tief - stem Grund zeigt der Schif - fer ho - hen

f *sf*

29

Muth trot - zend der er -

31

zürn - - ten Fluth, der er - zürn - ten

35

Fluth.

40

Schwan - kend doch mit

43

Pfei - leß schnell - le fliegt das leich - te Bret - ter Haus.

47

Auf dieschaum - be - deck - te

50

Wel - le blickt der See - held kühn hin - aus; und be-

53

fieht mit fe - stem Wort steu - ert in den si - chem

56

Port in den si - chern Port, blickt der See-held kühn hin -

61

aus und be - fiehlt mit fest - em

63

Wort steu - ert in den

65

si - - - chern Port, in den si - chern

69

Musical score for measures 69-72. The system consists of three staves: a bass staff at the top, a grand staff (treble and bass) in the middle, and another bass staff at the bottom. The grand staff is marked with a 'Port.' (Portamento) instruction. The music features a series of chords and single notes, with a long, sustained note in the treble of the grand staff in measure 72.

73

Musical score for measures 73-76. The system consists of three staves: a bass staff at the top, a grand staff (treble and bass) in the middle, and another bass staff at the bottom. The grand staff features a long, sustained note in the treble, which is tied across measures 73 and 74. The music continues with various chords and single notes in the other staves.

3.4 Liebe theure Muttererde

298

Hofmann

$\text{♩} = 40$

pp *p* *pp* *fp* *fp* *pp*

Lie - be theu - re

6

mutt - er Er - de sieh' dein Kind, es kehrt zu - rück,

10

nur am hei - mat - lich - en Her - de

13

fühlt man ganz des Le - bens Glück - fühlt man ganz des

16

Le - bens Glück Hüt - ten Hü - gel

20

Sträu - che Bäu - me al - - te Freu - nde

22

steht ihr hier; Him - mels - wonn - ne

24

sü - sse Träu - me, mei - ne Ju - gend

26

zeigt ihr mir.

28

Hüt - ten Hü - gel Sträu - che Bäu - me

cresc.

30

al - ten Freun - de steht ihr hier,

32

Him - mels-won - ne, sü - sse Träu - me,

pp

35

mei - ne Ju - gend zeigt ihr mir, mei - ne Ju - gend

38

zeigt__ ihr_mir. Wo dem neu ge

42

bor - nen Kna> ben einst die Son ne hat ge - lacht>

46

hier__ soll man auch__ mich be - gra - ben

49

ist__ mein Ta - ge werk voll bracht hier__ soll__man mich be-gra-ben

f

tr

This system contains measures 49 through 52. It features a vocal line in the upper staff and a piano accompaniment in the lower staves. The key signature has one sharp (F#). The lyrics are: "ist__ mein Ta - ge werk voll bracht hier__ soll__man mich be-gra-ben". The piano part includes a forte (*f*) dynamic marking in measure 50 and a trill (*tr*) in measure 51.

53

ist mein Ta - ge - werk voll - bracht.

pp

pp

This system contains measures 53 through 55. The lyrics are: "ist mein Ta - ge - werk voll - bracht.". The piano part features piano (*p*) dynamics in measures 53 and 54, and pianissimo (*pp*) dynamics in measures 54 and 55.

56

This system contains measures 56 through 59. It continues the piano accompaniment from the previous system, featuring various chordal textures and melodic lines in the right hand, and a steady bass line in the left hand.

Liebe teure Muttererde

Liebe, teure Muttererde!
Sieh, dein Kind, es kehrt zurück.
Nur am heimatlichen Herde
Fühlt man ganz des Lebens Glück

Dear mother earth,
see your child, he returns.
Only in the flock of homeland
does one feel all of life's joy.

Hütten, Hügel, Sträucher, Bäume,
Alte Freunde, steht ihr hier!
Himmelswonnen, süße Träume:
Meine Jugend zeigt ihr mir.

Huts, hills, hedgerows, trees,
old friends, they stand here!
Heavenly joys, sweet dreams:
they show me my youth.

Wo dem neugebor'nen Knaben
Einst die Sonne hat gelacht,
Hier soll man mich auch begraben,
Ist mein Tagewerk vollbracht.

Where the new born boy,
once laughed at the sun,
here I will also be buried
when my days work is done.

Mag es stürmen

Mag es stürmen, donnern, blitzen,
Öffnen mag die See den Schlund!
Auf der Wasserberge Spitzen,
In des Meeres tiefstem Grund
Zeig der Schiffer hohem Mut,
Trotzend der erzürnten Flut.

Let it storm with thunder and lightning,
The sea opens its jaws!
On the peaks of mountains of water,
at the greatest depths of the sea
the sailor shows highest courage,
in the face of the angry flow.

Schwankend, doch mit Pfeiles
[Schnelle,
Fliegt das leichte Bretterhaus.
Auf die schaumbedeckte Welle
Blickt der Seeheld kühn hinaus
Und befiehlt mit festem Wort
Steuert in den sichern Port.

Rocking, but with the speed of an
[arrow,
the light craft flies.
On the foam bedecked waves,
The hero of the seas looks bravely out,
And commands with determination,
Steers safely into Port.

21 Andante con moto

21

22

23

23

24

Der

25

25

26

Jä - ger ruh - te hin - ge - gos - sen ge -

27

dan - ken - voll im Wie - sen - grün, ge

This system contains measures 27 and 28. It features a vocal line in the upper staff and a piano accompaniment in the lower staves. The key signature has one sharp (F#). The lyrics are 'dan - ken - voll im Wie - sen - grün, ge'. The piano part includes various chords and melodic lines, with some notes marked with accents (>).

29

dan - ken - voll im Wie - sen - grün.

This system contains measures 29 and 30. It continues the vocal and piano parts from the previous system. The lyrics are 'dan - ken - voll im Wie - sen - grün.'. The piano part features sustained chords and moving lines.

31

Da

pp

This system contains measures 31 and 32. The vocal line is mostly silent, with the word 'Da' appearing at the end of measure 32. The piano part continues with chords and melodic fragments. A piano dynamic marking '*pp*' is present at the beginning of measure 31.

32

trat vom A - bend - licht um -

p *cresc.*

33

flos - sen, das schön - ste Mäd - chen zu ihm

35

hin, das schön - ste Mäd - chen zu ihm hin.

37

Sie lock - te ihn mit Schmei - chel - tö - nen und

fp *pp*

39

lud ihn freund - lich zu sich ein, dir

pp *simile*

41

ist das schön - ste Glück er - schien - nen, willst du mein Freund und Die - ner sein,

pp

43

willst du mein Freund und Die - ner sein. Siehst

This system contains measures 43 and 44. It features a vocal line and a piano accompaniment. The piano part consists of a right hand with chords and a left hand with a steady eighth-note bass line. The vocal line has a melodic phrase in measure 43 and a whole note in measure 44.

45

du dort auf dem Berg sich he - ben mein viel - ge - türm - tes gold - nes Schloss,

This system contains measures 45 and 46. The piano accompaniment continues with the same texture. The vocal line has a melodic phrase in measure 45 and a whole note in measure 46.

47

siehst du dort in den Lüf - ten schwe - ben den

This system contains measures 47 and 48. The piano accompaniment continues with the same texture. The vocal line has a melodic phrase in measure 47 and a whole note in measure 48.

49

reich - ge-schmück ten Jä - ger-tross, denreich - ge- schmück ten J - ger

51

tross? Die Ster - ne wer - den dich be-grü- ssen, die

53

Stür - me sind dir un - ter - tan, und

55

däm - mernd liegt zu dei - nen Füss - en der Er - den - qua - len dump - fer

57

Wahn, der Er - den - qua - len dump - fer

59

Wahn. Er

61

folg - te ih - rer Stim-me Ru - fen und

pp *fp*

pp *simile* *fp*

63

stieg den rau - hen Pfad hin-an, sie

65

tanz - te ü - ber Fel-sen-stu - fen durch

fp

fp

67

dunk - le Schlün deleicht ihm vor.

69

Und als den Gip - felsie er - rei - chen wo die Pa

fp *fp* *simile* *fp* *fp*

71

last sich pracht - voll zeigt,

fp *fp* *fp*

72

als mit der Ehr - furchtstür - men Zei - chender Die ner

fp *fp* *fp* *cresc.* *fp*

74

accelerando

Schar sich vor ihm reigt, da will er se - lig sie um

cresc. *f*

fp *fp* *fp* *f*

76

Andante

schlie - ssen; doch an - ge - don - nert bleibt er

ff *fz* *p*

78

stehn. Er

Musical score for measures 78-79. The system includes a vocal line and a piano accompaniment. The vocal line has a whole note rest in measure 78 and a half note 'Er' in measure 79. The piano accompaniment features a steady eighth-note pattern in the right hand and a more complex bass line in the left hand.

80

sieht — wie Ne - bel sie zer - flie - - ssen, das —

pp

Musical score for measures 80-81. The vocal line continues with the lyrics 'sieht — wie Ne - bel sie zer - flie - - ssen, das —'. The piano accompaniment features a steady eighth-note pattern in the right hand and a more complex bass line in the left hand. The dynamic marking *pp* is present.

82

Schloss. — inblau - e Luft ver - wehnt, da

dim.

Musical score for measures 82-83. The vocal line continues with the lyrics 'Schloss. — inblau - e Luft ver - wehnt, da'. The piano accompaniment features a steady eighth-note pattern in the right hand and a more complex bass line in the left hand. The dynamic marking *dim.* is present.

Allegro

84

fühlt die Sin - ne er ver - ge - hen, sein Haupt um - hül - let schwar - ze

87

Nacht und trost - los von den stei - len Hö - hen ent -

91

Tempo I

stürzt er in den To - - - des -

93

schacht.

fp

95

dim.

*Adapted from Piano Score by Catherine and David McShane (Kassel, 1996)

Der Jäger ruhte

Der Jäger ruhte hingegossen
Gedankenvoll im Wiesengrün
Da trat, vom Abendlicht umflossen,
Das schönste Mädchen zu ihm hin.

Sie lockte ihn mit Schmeicheltönen
Und lud ihn freundlich zu sich ein.
"Dir ist das schönste Glück erschienen,
Willst du mein Freund, mein Diener sein?"

Siehst du dort auf dem Berg sich heben
Mein vielgetürmtes goldnes Schloß,
Siehst du dort in den Lüften schweben
Den reichgeschmückten Jägerstoß?

Die Sterne werden dich begrüßen,
Die Stürme sind dir untertan,
Und dämmernd liegt zu deinen Füßen
Der Erdenqualen dumpfer Wahn."

Er folgte ihrer Stimme Rufen
Und stieg den rauhen Pfad hinan;
Sie tanzte über Felsenstufen,
Durch dunkle Schlünde leicht ihm vor.

Und als den Gipfel sie erreichen,
Wo der Palast sich prachtvoll zeigt,
Als mit der Ehrfurcht stummen Zeichen
Der Diener Schwarm sich vor ihm neigt,

Da will er selig sie umschließen
Doch angedonnert bleibt er stehn;
Er sieht wie Nebel sie zerfließen,
Das Schloß in blaue Luft verwehn.

Da fühlt die Sinne er vergehen,
Sein Haupt umhüllet schwarze Nacht,
Und trotzlos von der steilen Höhen
Entstürzt er in den Todesschacht.

The hunter rested, motionless,
thoughtful in the green meadow.
There stepped up to him, bathed in evening light,
the loveliest damsel.

She tempted him in flattering tones
and warmly coaxed him to join her.
"Your finest chance has come,
will you be my friend, my servant?"

Do you see there towering on the mountain
my many-turreted golden castle,
do you see there, floating in the air
the troop of huntsmen in their rich finery?

The stars will welcome you,
the storms are your subjects,
and in the gloaming, at your feet
lies the gloomy folly of earthly torments."

He followed the call of her voice
and climbed up the rough path.
She danced lightly over rocky steps
before him through dark gorges.

And when they reached the summit
where the palace appeared in all its splendour,
when with a silent sign of respect
the swarm of servants bowed before him

then he happily wanted to clasp her
but, thunderstruck, he stood there.
He saw her melt away like mist,
the castle dissolve in the blue air.

Then he felt his mind wander,
black night enveloped his head
and desperately from the steep heights
he plunged into the ravine of death.
(Translation: Berlin Classics BC2156-2)

3.6 Sie ist's, Er ist's!*

Allegro (♩=100)

The musical score is written for piano and voice. It begins with a piano introduction in A major (three sharps) and 3/4 time. The tempo is marked Allegro (♩=100). The piano part features a rhythmic pattern of eighth and sixteenth notes in the left hand, while the right hand plays chords and single notes. The vocal lines enter at measure 6. The lyrics are in German and are repeated in different parts of the score.

Measure 6: The piano part continues with the same rhythmic pattern. The vocal line enters with the lyrics "Er ist's" and "o welch Ent - zü".

Measure 12: The piano part features a forte (f) dynamic. The vocal line continues with the lyrics "Sie ist's!" and "o welch Ent - zü".

Measure 17: The piano part features a forte (f) dynamic. The vocal line continues with the lyrics "cken!" and "er ist's!".

Measure 22: The piano part features a forte (f) dynamic. The vocal line continues with the lyrics "cken" and "sie ist's!".

Measure 27: The piano part features a forte (f) dynamic. The vocal line continues with the lyrics "o welch Ent - zü".

22

cken! Du wie - der hier mein U - do - lin! Mein U - do
cken! o welch Ent - zü - cken

26

lin!
Die Zeit der Tren - nung liegt im

30

Rü - cken die Zeit des Wie - der - sehn's er -

34

schien. Die Zeit der Tren - nung liegt im

38

Rü - cken die Zeit des Wie - der -

41

sehn's > er - schien!

45

Es ist nun schon ein lan - ges -

49

Jahr, da zog des Herrn ge - bie - tend -

53

Wort dich von dem treu - en Lieb - ehen

57

fort, in Schwer - ter - saus, Krieg und Ge -

61

fahr.

Nun - ber

65

zieht mein gu - tes Glück und mei - ne

69

Lie - be und mein Herz, nach ü - ber -

73

stand - nem Tren - nungs - schmerz, zum Lieb - chen

77

wie - der mich zu - rück.

81

Hast du mein-er oft ge -

86

dacht? Mir dein Herz zu - rück ge -

Das ver - steht sich, das ver - steht sich

90

bracht? Nie gewankt in dei - ner

Das, ver - steht sich, das ver - steht sich!

94

Treu - e nach der bö - sen Män - ner_ Brauch,

cresc.

98

nach der Män - ner Bö - sen Brauch?

Nie ge wankt? >

p

102

Ist viel ge - for - dert, a - ber ja, ver - steht sich

tr

fp

107

auch ver - steht sich auch. Nun und Du? und

tr

fp *f* *fp*

111

Das ver-steht sich, das ver-Du? warst auch stets gut?

115

steht sich. Das ver-steht sich, das ver-Wi - destandst du Keck-em Muth?

119

steht sich. Und die Rein-heit dei-ner Lie-be nie ge-trübt durch ei-nen

123

Hauch, nie ge-trübt durch ei-nem

127

Nie ge trübt? Ist viel ge - for - dert, a - ber
Hauch?

132

Ja, ver - steht sich auch, ver - steht sich auch.

136

142

Wir fin - den uns wie - der, wie wir uns ver - las - sen jetzt

147

wol - len wir lie - bend uns fe - ster um - fas - sen,

152

wir fin - den uns wie - der, wie wir uns ver -

157

las - sen jetzt wol - len wir lie - bend uns fe - ster um - fas - sen, nichts

162

tren - net uns mehr, denn Schei - den fällt schwer, nichts tren - net uns

167

mehr, denn Schei - den fällt schwer, denn Schei - den fällt

cresc. *f*

172

schwer, denn Schei - den fällt

denn schei - den fällt schwer,

fp *pp*

176

schwer, Ja wir

fp

180

fin - den uns wie - der wie wir uns ver - las en, jetzt wol - len wir

pp

185

lie bend uns fe - ster um fas - sen

190

Wir fin - den uns Wie - der, wie wir uns ver - las - sen, jetzt

195

wol - len wir lie - bend uns fes - ster um - fas - sen, nichts tren net uns

200

mehr, denn schei - den fälkchwer, denn Schrei den fällt

204

schwer, denn Schei - den fällt schwer, denn Schei -

cresc. *f*

208

den fällt schwer, nichts tren - net uns

f *p*

212

mehr denn Schei - den fällt schwer, nichts tren - net uns

216

denn Schei - den fällt schwer, denn Schei - den fällt mehr,

f

220

schwer, nichts tren - net uns mehr, nichts tren -

224

net uns mehr, denn Schei - den fällt

229

schwer.

231

*Adapted from piano score, Peters Edition (Wien, 1862)

'Sie ist's, Er ist's' (Trans mine)

Udolin: Sie ist's!

Udolin: It is her!

Isella: Er ist's!

Isella: It is him!

Beide: O welch' Entzücken!

Both: Oh, how delightful!

I: Du wieder hier, mein Udolin?

I: You have returned my Udolin?

U: Die Zeit der Trennung liegt im Rücken,
Die Zeit des Wiederseh'n's erschien.

U: The time of separation lies behind us,
The time of reunion has arrived.

I: Es ist nun schon ein ganzes Jahr,
Da zog des Herrn gebietend Wort
Dich von dem treuen Liebchen fort
In Schwerteraus, Krieg und Gefahr.

I: It is now a whole year
since the master's commanding word
wrenched you away from your true love,
to drawn swords, war and peril.

U: Nun aber zieht mein gutes Glück,
Und meine Liebe und mein Herz,
Nach überstand'nem Trennungsschmerz,
Zum Liebchen wieder mich zurück.

U: But now my good fortune,
and my love and my heart,
after overcoming the pain of separation
bring me back to my beloved.

I: Hast du meiner oft gedacht?

I: Did you often think of me?

U: Das versteht sich.

U: But of course.

I: Mir dein Herz zurückgebracht?

I: You have brought me back your heart?

U: Das versteht sich.

U: But of course.

I: Nie gewankt in deiner Treue,
Nach der Männer bösem Brauch?

I: Never faltered in your loyalty
As is man's wicked custom?

U: Nie gewankt? – Ist viel gefordert; -
Aber ja, versteht sich auch!
Nun? – Und du warst auch stets gut?

U: Never faltered? You ask a lot;
But yes, this too!
Well, and you, were you always good?

I: Das versteht sich.

I: But of course.

U: Widerstand'st du keckem Muth?

U: Did you withstand bold courage?

I: Das versteht sich.

I: But of course.

U: Ward die Reinheit deiner Liebe
Nie getrübt durch einen Hauch?

U: Was the purty of your love
never clouded by a breeze?

I: Nie getrübt? Ist viel gefordert;
Aber ja, versteht sich auch!

I: Never clouded? You ask a lot;
But yes, this too!

Beide (sich umschlungen haltend):
Wir finden uns wieder,
Wie wir uns verlassen,
Jetzt wollen wir liebend
Uns fester umfassen,
Nichts trennet uns mehr,
Denn Scheiden fällt [uns] schwer!

Both (embracing each other)
We find each other again,
As if we'd never been separated
Now we lovingly embrace each other
more firmly,
Nothing will separate us again,
for parting is terrible for us.

3.7 Ich muss sie finden*

332

Andantino

pp

11

pp

18

H

A

23

H

A

27

A

Ich muss sie fin-den, die Lie-be bin-den nicht Wort und

The musical score is written for piano and voice. It begins with a piano introduction in 3/8 time, marked 'Andantino' and 'pp'. The piano part features a melodic line in the right hand and a harmonic accompaniment in the left hand. The score is divided into systems, with measures 11, 18, 23, and 27 marked at the beginning of new systems. The vocal part enters at measure 18, with the lyrics 'Ich muss sie fin-den, die Lie-be bin-den nicht Wort und' appearing below the staff. The piano accompaniment continues throughout the vocal entry.

34

A

Schwur, ich muss sie fin-den die

39

A

Lie - be bin-den nicht Wort und Schwur nicht Wort und Schwur der Stolz mag

46

A

krie-gen, ihn wird be-sie-gen Herz und Na-tur Herz und Na

54

A

tur.

mf

59

H

pp *f* *p*

68

H

Ich muss ihn fin-den die Lie - be bin-den nicht Wort und

pp

75

H

Schwur, ich muss ihn fin-den die

80

H

Lie - be bin-den nicht Wort und Schwur, nicht Wort und Schwur, der Stolz mag

mf

87

H

krie-gen, ihn wird be - sie-gen Herz und Na - tur Herz und Na

95

H

tur!

mf

100

H

pp fp p

109

H

A - stolf! A - stolf!

A

fp fp

113

H

Soll ich blei - ben,

A

Ach He - le - ne!

fp fp

117

H

soll ich ge - ben?

A

Ach wie

fp fp

120

H

A

ich nach dir mich seh - ne!

fp

123

H

A

Nein, ich kann nicht, ich kann nicht wi - der stehn, ich kann nicht wi - der

127

H

A

stehn, ich kann nicht wi - der - steh'n

Wie ich nach dir__ mich seh - ne!

cresc.

f

p

133

Allegro Vivace

H

A

Es will die Pflicht ich soll - te

Es will die Pflicht,

Allegro Vivace

fp

fp

140

H fort, doch lässt's mich nicht von

A ich soll - te fort, doch lässt's mich nicht

fp

147

H die - sem Ort rück - wärts ruft die Klug - heit

A von die - sem Ort, rück - wärts

154

H flieh', ent - sag' der Lust, vor - wärts ruft die

A ruft die Klug - heit, flieh' ent - sag' der Lust, vor - wärts

cresc.

161

H Lie - be, stürz' an sei - ne Brust!

A ruft die Lie - be, stürz' an ih - re Brust!

f *ff* *ff*

169

H

A

Es will die Pflicht, ich soll - te

Es will die Pflicht,

176

H

A

fort, doch lässt's mich nicht von

ich soll - te fort, doch lässt's mich nicht

183

H

A

die - sem Ort, doch lässt's mich nicht,

von die - sem Ort, von die - sem

cresc.

190

H

A

rück - wärts ruft die Klug - heit, flieh', ent - sag' der

Ort rück - wärts ruft die Klug - heit,

197

H Lust, vor-wärts ruft die Lie-be, stürz' an sei-ne

A flieh' ent-sag' der Lust, vor-wärts ruft die Lie-be stürz' an ih-re

205

H Brust, stürz' an sei-ne Brust, stürz'

A Brust, stürz' an ih-re Brust, stürz'

212

H an sei

A an ih

214

H ne Brust!

A re Brust!

'Ich muss sie finden' (Trans mine)

Astolf: Ich muß sie finden,
Die Liebe binden
Nicht Wort und Schwur;
Der Stolz mag kriegen
Ihn wird besiegen
Herz und Natur!
(*Er geht nach dem Hintergrunde*)

Helene: (*tritt aus der Seitentür und
späht umher*)
Ich muß sie finden
Die Liebe binden
Nicht Wort und Schwur
Der Stolz mag kriegen,
Ihn wird besiegen
Herz und Natur!
(*beide erblicken einander*)

Helene: Astolf, Astolf!

Astolf: Ach, Helene!

Helene: (*für sich*)
Soll ich bleiben, soll ich gehen?

Astolf: Ach wie ich nach Dir mich
sehne!

Helene: Nein, ich kann nicht
widersteh'n.

Beide (*Jedes für sich*)
Es will die Pflicht,
Ich sollte fort;
Doch läßt's mich nicht
von diesem Ort.
Rückwärts ruft die Klugheit:
Flieh', entsag der Lust!
Vorwärts ruft die Liebe:
Stürz an seine (ihre) Brust!

Astolf: I must find her
Love is not bound
by word of promise;
Although pride may fight
Heart and Nature
will defeat it.
(He retreats into the background)

Helene: (enters from the side door and
Looks around)
I must find him
Love is not bound
by word of promise;
Although pride may fight
Heart and Nature
will defeat it.
(both notice each other)

Helene: Astolf, Astolf!

Astolf: Ah, Helene!

Helene (to herself)
Should I stay, should I leave?

Astolf: Ah how I long for you!

Helene: No I cannot resist.

Both: (each to themselves)
Duty requires me
to leave;
But I cannot leave
this place
Wisdom calls me back:
flee, renounce desire!
Love urges me onwards:
fall upon his/her breast!

3.8 Roland's Narration (Fierrabras Act I)

341

Roland (Erzählend)

Am Rand der

4
Eb - ne wo sich des Hee - res ganz - e Macht ent -

6
fal - tet drang durch die en - gen, dicht ge - schloss' - nen

8
Rei - hen mit ho - hem Grimm der Tapf - re auf mich

10
ein, Tod ist sein Blick, Ver - der - ben sei - ne Strei - che,

13

rings al - les weicht, rings al - les

fp *cresc.*

16

weicht; da beut er mir den Kampf.

fz *ff*

19

die Ra - che glüh - het auf des Hel - den

fz

23

Stir - ne, die ho - her Ju - gend An - muth auch er - füllt.

p

27

Lang währt der Streit im An - ge - sicht des Hee - res das

ff

31 *b^b* *b^e*

Stau - nend theils und fürch - tend uns um - gibt bis

35

end - lich, ü - bermannet, er mir er - liegt. —

41

Ge -

45

fang - en steht er hier, ge - fan - gen doch Held.

3

50

f

3 3

3.9 O Theures Vaterland!

p *f* *pp*

Tenor 1+ Eg/Og
Tenor 2

Bass 1+ Roland
Bass 2

p *f* *pp*

O theu - res Va - ter - land! ver - las - sen weilt dei - ner Söh - ne treu - e

ff *p*

T. 7 8

Schaar, den soll des To - des Grau'n er - fa - ssen der dei - nes Ruh' - mes Kämp - fer war. O

B. *ff* *p*

f *pp* *ff*

T. 12 8

theu - res Va - ter - land! Ach fern von heim - isch - en. Ge - fil - den, droht

B. *f* *pp* *ff*

pp

T. 17 8

des Ver - der - bens bitt - re Schmach, und bald zer - fließt in Luft ge - bil - den die Hoff - nung, die

B. *pp*

pp *cresc.*

T. 22 8

Hoff - nung, die das Schick - sal brach. O theu - res Va - ter - land, o theu - res

B. *pp* *cresc.*

f *ff* *p*

T. 27 8

Va - ter - land, O theu - res Va - ter - land!

B. *f* *ff* *p*

1

p *tr* *f* *f*

5

p *tr*

10

13

Weitü berglanz und

17

Er - den Schim - mer ragt mei - ner Wün sche ho - hes - Ziel

21

und je - dem Glü ck ent sag' ich im - mer loht

25

- mich der Lie-be süß' Ge-fühl Weit ü-ber-glanz und

29

Er-den-schim-mer ragt mei-ner Wün-sche ho-hes Ziel und je-dem Glü-ck ent

33

sag'-ich im-mer loh-mich der Lie-be süß'-Ge-

37

fühl lohnt mich der Lie-be Süß-Ge-fühl, lohnt mich der Lie-be süß-Ge

41

fühl. Nur sei-ner Stim-me Klang zu
O-mog der Schein dich nicht be-thö-ren

45

hö ren nur sei-ner Stim - meKlang zu

Ver - rath ist der Ge dan - kehon Ja Ver -

49

hö ren ist al - ler Lei - den höch - stern Lohn, ist al - ler

rath, Ver - rath ist der Ge - dan - ke schon, Ver rath ist

52

Lei - den höch - ster Lohn.

der Ge - dan - ke schon. O mög der

55

Nur sei - ner stim - me Klang zu hö - ren ist höch ster

Schein dich nicht be - thö - ren o mög der Schein dich nicht be -

58

Lohn nur sei - ne Stim - me zu ho - ren nur sei - ne Stim - me zu
thor - ren o mög der Schein dich nicht be - thö ren o mög der Schein dich nicht be -

60

hö ren ist höch - ster Lohn
thö ren verrath ist der Gdan - ke schon.

63

O könnt ich es um - fan - gen das
Von trost - lostil - len

67

lie - blich hol - de Bild - o könnt ich es um - gang - en das lieb - lich hol - de Bild! Mein
Ban - gen ist mein - ne Brust er - füllt, von trost - lostil - len Bang - gen ist mei - ne Brust

70

glü hen des Ver lan - gen wird nim - mer wohl er - füllt — mein

füllt ach nie wird ih - Ver - lan - gen, nie ih -

72

glü hen-des Ver-lan - gen wird nim - merwohler -füllt, — mein glü hen-des Ver lan -

stilt ach nie wird ih - Ver - lan - gen nie ih - re - lusten stilt ach nie,

cresc. *f*

75

- gen, mein Ver lan - gen wird nie — wird nie — er füllt — O

nie wird ih - Ver lan - gen ach nie — ge - stilt. —

p

79

könnst' ich es um fan - gen das lieb - lich hol - de Bild — ach könnst ich es um fan - gen das

Von trost - lostill - em Ban - gen ist mei - ne Brust — er - füllt, von trost - lostil - lem

82

lieb - lich hol - de Bild — Mein glü - hen - des Ver - lang - en wird
Bang - en ist mei - ne Brust — er - füllt ach nie wird ihr Ver -

84

nim - mer wohl er füllt — mein glü - hen - des Ver - lang - en wird
lang - en nie ih - re Lust ge - stillt, — ach nie wird ihr Ver -

86

ni - mer wohl er füllt mein glü - hen - des Ver lang - en mein Ver
lan - gen nie ih - re Lust ge - stillt, — ach nie — wird ihr Ver

89

lan gen wird nie — er füllt, — wird nie, nie — er -
lan - gen ach nie — ge - stillt, nie — ge -

92

füllt wird nim-mer wohl er - füllt ach ni - mmer er - füllt.
 stillt ach nie ge - stillt, ach nie, ach nie ge - stillt.

Weit über Glanz

Florinda:
 Weit über glanz und Erdenschimmer

Ragt meiner Wünsche hohes Ziel;
 Und jedem Glück entsag' ich immer,
 Lohnt mich der Liebe süß Gefühl.

Maragond:
 O mög' der Schein dich nicht betören,
 Verrat ist der Gedanke schon.

F: Nur seiner Stimme Klang zu hören
 Ist aller Leiden höchster Lohn.

O könnt ich es umfassen
 Das liebliche holde Bild!
 Mein glühendes Verlangen
 Wird nimmer wohl erfüllt.

M: Von trostlos stillem Bangen
 Ist meine Brust erfüllt;
 Ach, nie wird ihr Verlangen
 Nie ihre Lust gestillt.

Florinda:
 Far above the splendour and glimmer
 [of Earth

Towers the high goal of my desire;
 And for every joy that I forever renounce,
 the sweet feeling of love rewards me.

Maragond:
 Do not let the illusion deceive you
 treachery is already in your thoughts.

F: Simply to hear the sound of his voice
 is the highest reward for all pain.

O, could I only embrace
 the lovely dear image!
 My burning desire
 will never be fulfilled.

M: My breast is filled
 with comfortless quiet anguish
 Ah, never will her longing,
 never her desire, be calmed.

